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ABSTRACT

The study reviewed the impact of state (California) and federal paperwork mandates in special education through an analysis of the paperwork of 37 agencies and interviews with 120 special educators. Among findings of the study were the following: the special education agency was required to collect at least 75 data items on each student: agencies collected from 79 to 213 data items per student with the range partially due to the inconsistent language of the mandates: the time used to fill out placement paperwork was one tenth of the total placement time: and bottlenecks occurred in the placement and review processes but not in the paperwork. The executive summary of the report includes the principal findings and recommendations to local agencies, the State Department of Education, the state legislature, and the federal legislature. The main body of the report includes a review of the literature, the study methodology and sampling procedures, study results, and conclusions. Appended are the following items: "A Summary of Legal References for the Paperwork Requirements in Special Education:" "Interview Questions:" "Summary of Time Estimates:" "Special Education Agencies Solicited and Included in the Samples:" "Summary Table for the Typical Paperwork in Special Education:" and "Critique of the Forms Drafted by the Office of Special Education Forms Committee." (DB)

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PAPERWORK SYSTEMS IN SPECIAL EDUCATION: AN ANALYSIS AND CRITIQUE

JULY 1980

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Office of Special Education,
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FOREWARD

Statement of Funding

The study reported here was part of a program of studies in Special Education in the Research and Evaluation Department, San Juan Unified School District. The study was conducted during the academic school year 1979-1980 under the auspices of the Special Studies supported by Grant No. 34-67447-80-3293-7100 between the California State Department of Education and San Juan Unified School District.

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EXECUTIVE SUMMARY

This statewide study reviewed the state and federal paperwork mandates, analyzed the paperwork of 37 agencies and summarized the interviews of 120 special educators. The findings of the study were as follows:

- .Data items were mandated, but, except for the IEP, the documents on which these items were to be collected were not specified by state and federal mandates. The mandated data items could differ in complexity.
- .The special education agency was required to collect at least 75 data items on each student. The average agency collected 120 data items. Some of these additional data items were used to identify the student and for the administration of the placement/review process.
- .Some agencies collected many more data items than were needed to comply with the mandates.
- .For most special education agencies, a reduction in the number of data items collected would require a change in the mandates.
- .The agencies collected from 79 to 213 data items on each student. This wide range in the number of data items collected by the agencies was partially due to the inconsistent language of the mandates.
- .Two reasons were used by administrators to justify the collection of a data item. The data item was collected to comply with the mandates or to provide for educational planning.
- .The time used to fill out placement paperwork was one-tenth of the total placement time.
- .The Master Plan professional spent less time each year filling out paperwork than the comparable Non-Master Plan professional. In the Master Plan agency, the resource specialist reduced the paperwork load of the other site professionals by completing most of the documentation.
- .Most special education teachers considered the documentation of the placement and review processes to be useful, but admitted that they did not like to fill out the forms.
- .The present paperwork was simply an organizational tool. The most appropriate education was identified as a result of the placement and review processes, but its delivery depended largely on trained, competent professionals.
- .There were no paperwork bottlenecks. The bottlenecks were in the placement and review processes.
- .The administrators considered the assessment results to be essential to the placement decision.
- .The Master Plan agency used fewer team meetings to place a student in special education.
- .There was a decrease noted in the amount of paperwork required by the state for special education pupil counts. The state forms for pupil counts had improved over time.

RECOMMENDATIONS

Recommendations to Local Agencies

- Each agency should develop a handbook to explain (1) the steps to follow in the placement and review process, and (2) how to complete the special education paperwork.

- Special education teachers should receive annual inservice on the special education processes and the efficient completion of the paperwork.

- Each agency should determine which data items on their paperwork are mandated and which are for local use. The items included for local use should be kept to a minimum. Duplication of data items should be avoided.

- RLAs with computerized student identification systems should supply preprinted student identification items for as many of the required forms as possible.

- Each agency should combine forms when it is possible. For example, combine the assessment plan with the consent to assess letter, with the parent rights on the back.

- Recognize that the resource specialist in the Master Plan agencies is assuming responsibility for much of the mandated paperwork completion, thereby, reducing the work loads of the principal, special class teacher and the regular teacher.

- Except for the data items which are clearly required to be collected, the decision to collect a data item should be based on its value for educational planning.

Recommendations to the Department of Education

- The Office of Special Education should develop a list of the data items mandated by law and regulation. The Office of Special Education should identify the data items where differences of interpretation exist. Resolve the differences of interpretation. Update this list with each law/regulation change. Communicate the changes to the special education agencies.

- The Office of Special Education should study the most cost efficient management of the placement and review process for the following agencies: (1) RLAs consisting of one district, (2) RLAs consisting of multiple districts, (3) LEAs consisting of one district and (4) LEAs consisting of multiple districts.

- The Office of Special Education should provide procedure guides for the most cost efficient management of the placement and review process for the four agencies above.

- .The Office of Special Education should examine the process and paperwork load for each of the designated instruction and services in order to suggest a modification of the placement/review process. Such modification might allow case load credit for the additional mandated assessment of students not primarily served by the designated instruction specialist (see Code of Federal Regulations, Title 45, 121a.532(f) and California Education Code 5630(d)).

- .Recognize that the resource specialist is assuming responsibility for much of the mandated paperwork completion, thereby, reducing the work loads of the principal, special class teacher and the regular teacher.

State legislative recommendations

- .A simplification of the assessment process could enable the staff to notify parents of the referral, explain their rights and gain consent for assessment in a single step.

- .Parent consent to assessment should be required only for the initial assessment. California Education Code (56337) states that, "Whenever an assessment is to be conducted by a school appraisal team or an educational assessment service, the consent of the parent shall be obtained...". This requirement is also mandated in the California Administrative Code, Title 5, 3304(d). This requirement should be deleted since it goes beyond the federal requirement of parental consent for the initial assessment and placement (see Code of Federal Regulations, Title 45, 121a.504(b)(2)).

Federal legislative recommendations

- .Parent contact involved with informed consent are a bottleneck and can be a major time consumer of unpredictable duration. Legislative consideration should be given to how often parent participation is mandated. Parent participation in the placement and review process was considered desirable by the special educators. Such involvement was noted to decrease as the number of contacts and/or meetings increased.

- .Code of Federal Regulations, Title 45, part 121a.346 (see also Education Code 56336.5a and California Administrative Code 3306(a)(1)) indicates that the individualized education program for each child presently must include a statement of the child's present levels of educational performance. This requirement should be deleted from the federal and state regulations since the assessment must be documented elsewhere (see Code of Federal Regulations, Title 45, 121a.533(a)(2)).

- .Include the annual goals on the IEP, but delete the short term objectives from the IEP produced at the team meeting. Short term objectives are most appropriately developed and periodically reviewed by the special education teachers and/or specialists.

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INTRODUCTION

Often, legislation is not perceived as an underlying cause of paperwork. Government agencies draft regulations to implement the laws with little thought about the paperwork impact. Funds were rarely appropriated to compensate for the paperwork costs. The data collection was infrequently related to the mandated action of an agency.

Recently, larger amounts of paperwork have been required of the special educator at the local level. This increased paperwork stems from a need to assure the right to a free and appropriate education for all handicapped children, as mandated by the Education for All Handicapped Act of 1975 (PL 94-142). California also had similar legislation which established the Master Plan for Special Education.

This and subsequent legislation have had an impact on the special education paperwork required statewide. Pending legislation will also have an effect on the special education documentation. As the laws and the interpretation of the laws by which the agency is governed change, the paperwork also changes to comply.

REVIEW OF THE LITERATURE AND PURPOSE OF THE STUDY

Studies of paperwork have been made at both the Federal and State levels. These studies have identified inefficient practices and have recommended changes to reduce the paperwork load. The problems reported in the studies reviewed briefly in this section point out the difficulties in finding solutions to the paperwork problem.

Federal Studies

The study of paperwork at the Federal level has a long history and has included many committees and commissions extending back to the Civil War. These groups were as follows: (1) the Cockrell Committee, (2) the Dockery-Cockrell Committee, (3) the Keep Commission, (4) the Taft Commission, (5) the Bureau of Efficiency, (6) Hoover Commission, and (7) Commission on Federal Paperwork (U.S. Commission on Federal Paperwork, 1977, 3-8).

The latest commission on paperwork reported that there were several types of burdens that excessive paperwork had imposed on institutions and individuals. These burdens were the economic, psychological and the cumulative effects of numerous requests for information (U.S. Commission on Federal Paperwork, 1977b, 3-5). The Commission reported that "the ever increasing volume of paperwork plagues both government and industry alike," and that the volume of paperwork created by the Federal Government is increasing at an exponential rate (U.S. Commission on Federal Paperwork, 1977a, 3).

The Commission reported some key causes of paperwork. Among these causes were the following: (1) a lack of communication; (2) requests from overlapping organizations; (3) poor program design; and (4) incomprehensible forms and instructions. The Commission noted that "legislation and regulations are drafted with little thought as to how paperwork or burdens might be minimized." (U.S. Commission on Federal Paperwork, 1977e, 19-21).

The Commission found that frequent paperwork complaints by government, industry and individuals were: (1) late feedback; (2) insufficient lead time for data collection; (3) unrealistic data requests; (4) inconsistent terminology in the requests, and (5) an excessive cost for the data collection (U.S. Commission on Federal Paperwork, 1977d, 12).

The Commission reported many case studies on ways to cut paperwork and then suggested ways to cut paperwork costs (U.S. Commission on Federal Paperwork, 1977f, 24-33).

The Commission recommended to the President that audits be conducted by agencies of the various regulatory and program agencies information gathering systems of program agencies should include: (1) cost benefit analyses to evaluate the usefulness of data in relation to its cost; (2) consideration of the usefulness of the data to other Federal agencies and private organizations; (3) evaluations of data for quality and reliability; (4) determinations as to whether the data being collected are being used; and (5) possible alternative sources for and methods of acquiring the data requested (U.S. Commission on Federal Paperwork, 1977a, 72).

In its report on education, the commission warned that determining the cost of providing educational data is a complex problem. Although accurate measurement of information specific enough to provide good cost data has not yet been accomplished, this task is becoming so important that techniques must be developed soon to determine the costs of data production and collection (U.S. Commission on Federal Paperwork, 1977d, 12).

The Federal Government has made extensive attempts to cut through the paperwork maze with the Federal Paperwork Commission and HEW Secretary Califano's Operation Common Sense. Secretary CAlifano asked for the recoding of all federal regulations. Congress in response has attempted to include the new language required by the Office of Education in new law. This is true of the recent enactment of the ESEA Titles I and II (Edelstein, 15-18). But, much of the paperwork required by Federal law remains.

In special education, Public Law 94-142 has been hailed by legislators and educators as a law of tremendous potential, but also a challenge (Kennedy, 7; Bureau of Education for the Handicapped, 1; Abeson and Zettel, 114-115; Hawkins-Shepard, 95). Kennedy (1978) stated, "Nobody ever said the task would be easy." In implementing the law, special educators reported a few of the challenges to be as follows:

1. The IEP construction was a time consuming child assessment tool (Washick, 34). This amount of time appeared to give educators much concern (Hawkins-Shepard, 95).

2. Obtaining parental consent and the explanation of parent rights was a time consuming necessity. The documentation of the crucial communications for the parent's benefit was required, but a time consumer (Hoff, 1978).

3. The IEP document was a complicated written statement. The IEP was viewed as both a process and a product and provided many functions (Kaye and Aserlind, 139).

The IEP was an extension of the procedural protections, a management tool, a compliance monitoring document, a commitment of resources and a communication vehicle (Bureau of Education for the Handicapped, 2).

Kaye and Aserlind (1979) viewed the IEP as the "ultimate process". This view appeared to be ratified by the many things that the IEP documentation process is required to achieve under Public Law 94-142.

The simple achievement of the IEP documentation required by Public Law 94-142 implied the creation and maintenance of an extensive paperwork system. The challenge was to create and maintain an efficient paperwork system.

Price and Goodman (1980) studied the IEP documentation costs. They found that the amount of time expended per pupil varied greatly across exceptionalities. They also found that writing the IEP document and gathering supportive diagnostic data accounted for the major time expenditures in the overall document development process. They report that the average amount of teacher time expended in developing an IEP was 390 minutes (6.5 hours) per student (Price and Goodman, 448-449).

They suggested that there was a need to streamline the IEP process without detracting from quality. There was also a need to examine the full range of costs incurred. (Price and Goodman, 453).

State Studies

At the State level, the Educational Management and Evaluation Commission from testimony of district and county representatives found many adverse attitudes toward the entire Federal-State education data collection process, such as: (1) proliferation of requests for information; (2) lack of adequate lead time; (3) inadequate or out-of-date feedback; etc. It was estimated that Federal information requirements can comprise 30 to 60% of the district's total reporting burden and account for over 35% of the Local Education Agency's reports required by the State Department of Education (California Educational Management and Evaluation Commission, 102).

As a result of the commission's report, the State has attempted through a departmental Data Acquisition Committee to review, approve and schedule statewide paperwork. Existing regulations have been reviewed and consolidated and legislation has been sponsored to abolish certain code sections requiring information which is no longer needed. A broadly-based statewide committee now reviews all proposed paperwork to assess content, time requirements, possible duplication, and collection methods (Madden).

Local Studies

At the local level, principals have viewed with alarm the burden of excessive paperwork. It was considered to detract from the effectiveness of school personnel in the instructional program. Many data requests dealt with the same issue in different forms with poorly conceived directions, requiring inordinate hours to compile (Keller, 90).

School boards were also asking for the paperwork load to be relieved (Betchkel, 30). Although principals and school boards were concerned about paperwork generally, there was particular paperwork problems for those in special education.

Special education teachers in Master Plan consider paperwork to be of a major concern (Barrick, 1). The Individual Educational Plan

(IEP) development required several facets which involved paperwork including pretesting, posttesting and task analysis (Hedbring and Holmes, 212-244). Teachers have found the referral process and the concomitant paperwork tedious and time consuming (Marver and David, 6). The assessment reporting process also had roadblocks. For example, it could take a month or more for a psychologist to prepare an assessment report in rural areas and where special facilities were required, say from a neurological hospital, a report might not be forthcoming for months (Marver and David, 8). Some assessment difficulties have also come from data mismanagement (Marver and David, 9).

Special education directors involved in the fair hearing process were requiring program documentation and paperwork searches (Richardson).

Study of Special Education Paperwork

The types of problems with paperwork reported by Federal, State and local studies were undoubtedly to be found to some extent in this special study. These problems included the quantity of information which must be recorded, the quality of some forms, the costs of data collection and the scheduling of various reports.

A study should be made of special education paperwork to identify the range of problems and to identify those procedures which could lighten the paperwork burden. Although many complaints have been heard, no systematic study has been made to determine the full extent of the special education paperwork problem. This special study proposed to identify the paperwork bottlenecks in special education, to assess their severity and to make suggestions for constructive changes.

Purpose of the Study

The purpose of this study was to collect, analyze and critique all primary paperwork in special education required by Federal, State and local mandates in order to suggest ways to simplify and coordinate the paperwork effort. "Primary paperwork" includes all paperwork collected to document programs for special education students and to use for State and Federal reports.

The study attempted to answer the following questions about the primary paperwork in special education:

-What data items were collected?
-Were there systematic differences in data between SESRs and LEAs?
-How were the data collected and reported?
-How much time did data collection take?
-Who was involved in collecting the data?
-Was there duplication of effort?
-How was the paperwork system designed?
-What were the bottlenecks?
-How were the data stored?
-How many times was the data to be reported?
-How would the data be used locally?
-Did the data affect decision making?
-What data were required by laws and regulations?

-What changes in the laws and regulations would insure more efficient practices?

This study will, in investigating these questions, looked for and reported efficient paperwork practices. Recommendations for improvement in the practices was reported.

Summary

The study of paperwork at the Federal level has a long history of investigation. The paperwork burdens can be economic, psychological and cumulative. The causes of excessive paperwork can be a lack of communication, similar requests from overlapping agencies, and poor program design. Periodic audits were recommended to assess the usefulness of the data; to evaluate the data for quality and reliability; and to determine the use of the data collected.

In special education, the paperwork has increased since the passage and implementation of Public Law 94-142. Increased parent communication, a multi-disciplinary assessment of the student, a team construction of the IEP, and the inclusion of the process reportedly increased the documentation time for special education.

STUDY METHODOLOGY AND SAMPLING PROCEDURES

This study proposed to accomplish several tasks. The first was to analyze the State and Federal requirements in order to identify the minimal number of data items that should be collected in order to comply with the legal mandates. The second was to analyze a sample of statewide solicited forms. The final task was to interview special education personnel from selected districts throughout the state to identify paperwork bottlenecks.

Analysis of State and Federal Mandates

The analysis of State and Federal mandates includes an analysis of the California State Education Code, the California Administrative Code, the Code of Federal Regulations and the United States Code. More specifically the legal sources were the following:

(1) California Education Code (as amended by AB 1250 and AB 3635).

(2) California Administrative Code, Title 5 Regulations.

(3) Code of Federal Regulations, Title 45, amended in compliance with Public Law 94-142 as presented in the Federal Register, Volume 42, No. 163 (August 23, 1977) and No. 250 (December 29, 1977), part 121a, Assistance to States for Education of Handicapped Children.

(4) United States Code, Title 20, Sections 1401-1411 (as amended by Public Law 94-142).

The various mandated data items were categorized by paperwork category and agency type. The agency types were either (1) Special Education Service Region (SESR) or (2) Public Law 94-142 Consortium or Local Education Agency (LEA). The typical paperwork categories were (1) referral paperwork, (2) assessment paperwork, (3) placement paperwork, (4) individualized educational program, (5) annual review, (6) Federal data requirements for program evaluation, and (7) the state data requirements for program evaluation. The specific legal references were cited for these categories. Then the actual text of the law was included again across these categories. The summary of legal references for tha paperwork requirements in special education is found in Appendix A.

Selection of the Forms Sample

The method of sample selection was to solicit all the SESRs and a matching number of Public Law 94-142 LEAs. At the time of the study there were twenty-two funded SESRs. Los Angeles Unified School District contained two areas that were funded SESRs. Santa Clara County Schools had three areas that were funded SESRs. These SESRs had special education forms that were identical to the other SESRs within their parent agency. This dropped the number of different SESR form samples to nineteen. A matching nineteen form samples from the Public Law 94-142 LEAs were selected. The selected sample was obtained by matching SESRs and Public Law 94-142 LEAs by geographical area and special education student count. The number of Public Law 94-142 LEAs solicited was twenty four. This larger number allowed for non-participation of some LEAs.

Each agency solicited was asked to provide special education paperwork in the following categories:

1. The referral paperwork of the special student,
2. The assessment paperwork of the special student,
3. The placement paperwork for the special student,
4. The paperwork used in the development of the IEP for the special student,
5. The periodic/annual review paperwork for the special student,
6. The management information system data requirements for special education, and
7. The paperwork used in the fair hearing process.

For the SESRs eighteen of the nineteen responded. For the Public Law 94-142 LEAs, nineteen of the twenty-four responded. The provided paperwork brought the needed sample size to 95 percent of the SESRs and all of the needed LEAs (see Appendix E for the solicited agencies).

The Analysis of the Forms

The provided forms were separated into two major classifications. SESRs and Public Law 94-142 LEAs (See Tables 1-4 in Appendix E). Typical forms were used as major categories. For example, the referral form was used as a major category. Subcategories of data items were also constructed. The individual data items were then marked to indicate whether the agency collected that data. The number of data items collected by an agency was totaled. The number of agencies which collected each individual data item was reported. The data items were also compared to the State and Federal mandates, using the summary of legal references for the paperwork requirements in special education in Appendix A. The Office of Special Education, Forms Committee, constructed sample forms to include the mandated items. These sample forms were included in the Tables (see Appendix E). The data items were analyzed and the data items collected were reported. Efficient practices were identified and reported, and changes in State and Federal mandates were recommended.

The Selection of the Interview Sample

All of the SESRs and LEAs which were selected were also asked to grant the investigator permission to interview in their district and to supply the name of a contact person. Nearly all of the SESRs and LEAs which supplied their special education forms granted this permission. From this pool, five SESRs and five Public Law 94-142 LEAs were selected to participate in the interviews. The SESRs and LEAs were categorized by the number of data items collected on the typical paperwork. The five SESRs and LEAs were then selected from the categories as follows: One SESR and one LEA from the high category, three SESRs, and three LEAs from the average category, and one SESR and one LEA from the low category.

The persons interviewed in each SESR or LEA were as follows:

1. The program director (1),
2. The person responsible for data collection (1),
3. Program Specialists (2),
4. Special day class teachers (2),

5. Resource specialist teachers (2),
6. Designated instruction specialists (2), and
7. Principal or Vice Principal directly responsible for the supervision of special education teachers (2).

The LEAs had personnel which had titles and job roles which varied from the above persons, but a comparable professional was interviewed, if possible. The total number of professionals interviewed was one hundred nineteen.

Pilot Interviews

The San Juan Unified School District was used as the district in which the pilot interviews were conducted. The interview questionnaire was constructed after both an intensive review of the law and a detailed examination of the district forms. The aim of the subsequent interviews was to further refine this questionnaire. Sixteen selected special education personnel were interviewed in the district at the elementary, intermediate, and secondary levels. These personnel were the same kind of professionals that were to be interviewed statewide. The questionnaire was differentiated with respect to management and non-management personnel. The resulting interview questionnaire is found in Appendix B.

The Interviews

The interviews were conducted in relatively adjacent districts by pairs to facilitate travel and reduce expenses. The Public Law 94-142 LEAs did not usually include an interview of the resource teacher since this position did not usually exist in the LEAs. The other matching personnel were interviewed. The answers to the questions were recorded as accurately as possible. The interviewer reviewed the answers immediately after the interview for accuracy. The interviews were then compiled for each question. The answers usually could be categorized or classified. These answer categories were then reported in the findings chapter. Typical answers were also summarized and reported.

Summary

This study analyzed the State and Federal mandates as the data requirements in special education in California. The SESRs and Public Law 94-142 LEAs were solicited for a representative sample of their forms. The forms from the thirty-seven agencies were classified, analyzed and critiqued as to efficient practice. Five SESRs and five LEAs were selected for interviews of special education. These SESRs and LEAs were selected by the number of data items collected on the mandated paperwork and geographic area, but also paired by the number of special education students served. Interviews were conducted to ascertain time to process the forms, use of the forms, changes that could be made in the forms, and attitudes toward the forms.

STUDY RESULTS

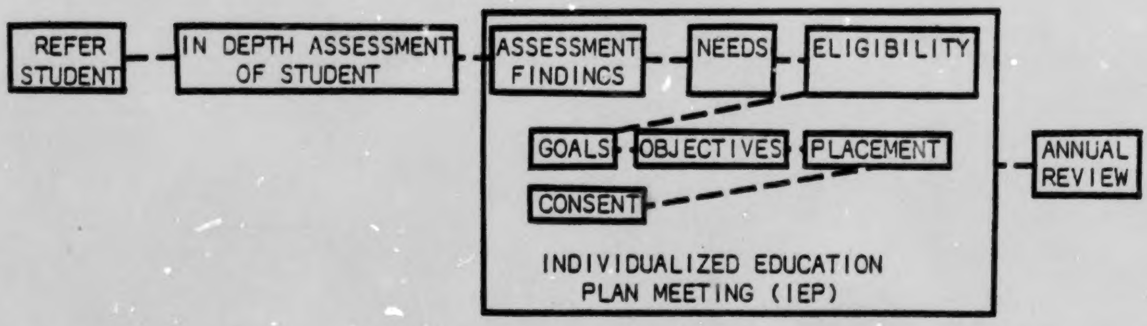
With the funding and establishment of the California Master Plan for special education in 1975, there has been a continual change in the California special education mandates. With the passage of the Education for All Handicapped Children Act of 1975 (PL 94-142), there has been an additional change in the Federal mandates. The documentation of the local special education agencies has changed to comply with the new mandates. These laws and regulations were examined to determine how many special education data items should be collected on each student. The documents of thirty-seven agencies were examined to determine what was usually collected. The one hundred-nineteen interviews in ten agencies were to determine the time consumed in data collection, the usefulness of the data collected, and the attitude of special education teachers toward the documentation. The bottlenecks in the paperwork data collection were identified.

The Typical Paperwork in Special Education

The special education mandates were analyzed to identify two major things: (1) the typical documents for each special education child, and (2) the data items required for each document. The identification of the data items required by the mandates, and (3) the data items required for local use. Once an agency categorizes their data items according to these three areas, the agency could work to minimize the number of data items collected. The legal sources analyzed were the United States Code (USC) as amended by Public Law 94-142, the Code of Federal Regulations (CFR) as presented in the Federal Register, the California Education Code (EC) as amended by AB 1250 and AB 3635, and the California Administrative Code (CAC), Title V regulations.

The laws and regulations appeared to mandate both a documentation system and a placement/review process for the special education student. Figure 1 matched the paperwork with the placement/review process. The placement process began with the referral of the student. This was usually done on a referral sheet. The referral sheet often included a notice of referral to the parent. At this point, the parent rights, assessment plan, and consent to assess forms were often sent to the parent. The parent returned the consent to assess. The in-depth assessment took place and the findings were documented by the professionals involved. The parent was notified of the team meeting. This notice contained the time, place and purpose of the team meeting as well as the people attending the meeting.

The following usually took place in a team meeting. The assessment findings were discussed with the parent and summarized on the individual education plan (IEP). Based on the assessment findings, the learning



.REFERRAL SHEET
.ASSESSMENT PLAN
.PARENT RIGHTS
.CONSENT TO ASSESS

.DOCUMENTATION OF ASSESSMENT FINDINGS

.IEP DOCUMENTS THE FOLLOWING:
-ASSESSMENT FINDINGS SUMMARY
-AREA OF NEEDS
-ELIGIBILITY
-GOALS
-OBJECTIVES
-PLACEMENT
-CONSENT

Figure 1. The Placement Process With the Review and the Matching Paperwork for Special Education

needs of the child were identified. The decision to admit the student to special education was discussed. This decision was documented. Then, based on the identified learning needs of the student, the goals and objectives were written. The placement based on the goals and objectives was determined and it was documented. Lastly, the parent approval of the assessment findings, eligibility for special education goals and objectives, and placement was obtained.

The annual review process involved almost all of the elements of the placement process. The annual review assessment was usually not as detailed as the placement assessment. In most cases, the child was assessed only by the special education teacher. The same forms were usually used for the annual review that were used for the initial placement.

The documents completed during placement and review processes were the referral, the assessment plan, the parent consent to assess, the notice of the team meeting and the individual education plan. These documents were typical documents used in special education.

The number of required data items did not differ largely between the SESRs and PL 94-142 LEAs (see Table 1 below). Many of the data items that were required by the California Education Code for Master Plan SESRs were duplicated in the Title V regulations for the LEAs.

Table 1

Number of Mandated Data Items to Be Collected for the Placement of a Special Education Student

TYPICAL DOCUMENT	DATA ITEMS MANDATED FOR SESRs	DATA ITEMS MANDATED FOR PL 94-142 LEAs
Referral	13	7
Assessment Plan/Consent to Assess	19	20
Parent Rights	TEXTUAL MATERIAL	
Notification of Meeting	5	5
Individual Education Plan	42	43
Total	79	75

For some of the data items identified, there was a real question as to whether that data item should be included on the forms. For example, the code of the Federal Regulations states:

> If the native language or other mode of communication of the parent is not a written language, the state or local educational agency shall take steps to ensure: ... (2) that the parent understands the content of the notice, and (3) that there is written evidence that requirement in paragraph ... and (2) of this section has been met. CFR 121a.505(c).

The confusion, in this case, was not whether the language of the home should be documented, but whether there were enough cases to warrant the inclusion of this item as a category on the forms. The language of the home may simply be documented in a general comments section on a form. But, the problem with making sure that the language of the home is documented in the few cases remains.

Deciding which document should contain the mandated item is another problem. For example, the annual report of the agency to the state shall identify the number of individuals with exceptional needs, their racial and ethnic data, and the special education program (EC 56352). But on which document should ethnicity be documented in order to complete the required report and how many times should it be collected?

A problem with interpretation of similar terms can also be a problem. The federal government mandates that the possible areas of assessment are: health, vision, hearing, social and emotional status, general intelligence, academic performance, communicative status and motor abilities (CFR 121a.532(3)(f)). The state mandates that there will be provision for assessment of the individual's development in language, cognitive, affective, sensory, and sensory motor functioning (EC 56330(b)). Which of these terms should be included on the forms: Social and emotional status or affective development of the individual? General intelligence and academic performance or cognitive development of the individual? Communicative status or language development? Are vision and hearing status the same as sensory development or should other senses be included? Should some of the above categories be included on the assessment plan or should all of them be included just to be safe? So a major problem identified with determining whether a named data item should be collected stems from the interpretation of the law into practice. No attempt was made to reconcile the differences between the terms. This study provided for the determination of what was being collected in categories constructed from these terms. These data collection practices are described in the next section.

Paperwork Analysis

The paperwork from thirty-seven of the thirty-eight agencies was tabulated by the major documents: referral sheet, assessment paperwork (assessment plan and consent to assess), notification of the meeting and the IEP (see Tables 1-4 of the Appendix). The Office of Special Education, Forms Committee, drafted sample forms which were also included in this tabulation. A judgment as to whether each data item was required by law to be collected was also included at the top of Tables 1-4 of Appendix E.

The data items collected could be classified into three groups of items: (1) the mandated items, (2) the items collected to identify the student, and (3) items solely for local use. Many of the items which were collected solely for local use were consistently collected by other agencies. Two items were consistently included for student identification. These were the name of the student and birthdate.

The average number of items collected on all of the mandated paperwork for the master plan agencies was 132.9 (see Table 2 below). For the non-master plan agencies, the average was 108.2. The number of items collected on the documents varied widely. On the referral sheet, the number of items collected ranged from 9 to 44. On the assessment plan/consent to assess document, the number ranged from 3 to 38. The notice of the team meeting contained from 3-38 data items. The number of items collected on the IEP ranged from 30 to 123. So the practice ranged widely for the number of data items collected. On the average, the master plan agencies collected more items on each document. The master plan agencies collected approximately 25 more items on their documents than the non-master plan agencies.

Table 2

Data Items Collected Versus Data Items Mandated
By The State And Federal Governments

	SESRS			LEAS		
SPECIAL EDUCATION PAPERWORK	NUMBER MANDATED	AVERAGE NUMBER OF ITEMS	RANGE	NUMBER MANDATED	AVERAGE NUMBER OF ITEMS	RANGE
REFERRAL[a]	13	26.6	11-44	7	19.2	9-26
ASSESSMENT PLAN/ CONSENT TO ASSESS[a]	19	21.5	5-38	20	19.6	3-29
RIGHTS						
NOTIFICATION OF MEETING[b]	5	20.5	8-32	5	17.5	5-31
INDIVIDUAL EDUCATION PLAN	42	64.2	35-123	43	51.9	30-77
TOTAL	79	132.9	79-213	75	108.2	83-143

[a] SESR 18 not included in Tables 1 and 2 on Appendix E
[b] Data items collected by the agencies not reported in in Appendix E

The average number of data items collected on each typical document was above the total number of mandated items (see Table 2). The explanation for the larger average number of data items collected can be partially found by listing the additional items included on each document (see Table 3).

When the non-mandated data items usually collected were analyzed, three independent categories were identified. These categories were defined as follows:

(1) the student identifiers were the data items needed on each document to identify the student.
(2) the unduplicated items were the unduplicated data items needed for the administration of the documents.
(3) the duplicated items were the data items other than the student identifiers included on more than one of the documents.

The student identifiers were the name and birthdate of the student. The number of times these two identifiers were needed on the four typical documents was seven (the student birthdate was not needed on the notification of the team meeting).

The remaining non-mandated items usually included on the paperwork were categorized by the duplicated and unduplicated categories. There were six duplicated and fifteen unduplicated items. The total number of items needed on all the typical documents was found by adding the following:

Mandated items + student identifiers + unduplicated items

For the SESRs, this was equal to 79 + 7 + 15 = 101

For the LEAs, this was equal to 75 + 7 + 15 = 97.

Therefore, a reduction of the data items for many of the agencies was possible, but the practical limit for the total number of data items was 101 for the SESRs and 97 for the LEAs.

Table 3

Not Mandated But Usually Included
In the Paperwork as Identification

REFERRAL SHEET (11 ITEMS)

1. NAME OF STUDENT
2. BIRTHDATE OF STUDENT (MANDATED)
3. SEX OF STUDENT
4. GRADE OF STUDENT
5. TEACHER OF STUDENT
6. HOME SCHOOL
7. PARENT NAME
8. PARENT ADDRESS
9. PARENT PHONE NUMBER
10. NAME OF PERSON MAKING REFERRAL
11. DESCRIPTION OF ATTEMPTED INTERVENTIONS (LOCAL USE)

ASSESSMENT PLAN/CONSENT TO ASSESS LETTER (6 ITEMS)

1. STUDENT NAME
2. BIRTHDATE (MANDATED)
3. PARENT NAME
4. SENDER'S NAME
5. SENDER'S PHONE
6. LETTER DATE

NOTICE OF TEAM MEETING (3 ITEMS)

1. SENDER'S NAME
2. SENDER'S PHONE
3. STUDENT OR PARENT NAME

IEP (9 ITEMS)

1. STUDENT NAME*
2. STUDENT SEX
3. STUDENT GRADE
4. HOME SCHOOL
5. HOME DISTRICT
6. PARENT NAME
7. PARENT ADDRESS
8. PARENT PHONE
9. BIRTHDATE* (MANDATED)

*IEPs RANGE FROM 2-6 PAGES IN LENGTH. THIS IDENTIFYING DATA IS USUALLY REPEATED ON EACH PAGE.

Interview Results

The questions in the interviews were separated into question categories. These categories were form construction, time estimates, usefulness of the documentation, changes in the documentation, the attitude toward the forms and forms to complete State reports. The interviews were summarized in two ways. Answers were categorized and the responses summarized below:

Form Construction

Question: Are the directions for collecting the data clear?

Yes	No	Uncertain
90%	10%	0%

The directions were usually either printed on the back of the forms or a manual was written to explain the form completion. For the ten percent who answered "no", they usually reported that no written instructions existed. A second question was usually asked about directions. This question is below:

Question: Was inservicing required when you first used the forms?

Yes	No	Not Asked
46%	4%	49%

Most of the teachers who were asked this question indicated that they were provided instruction on a one-to-one basis. They also indicated that observing a person filling out a set of forms was helpful.

Question: Are the forms legible?

Yes	No
95%	5%

The only comments with respect to illegible forms indicated either that the NCR carbon copies were not properly matched or that the writing on the last of the NCR copies could not be read.

Question: Is there enough room to write:

Yes	No	Uncertain
58%	38%	4%

The majority reported satisfactory room in which to write. But a large minority indicated problems with the IEP. The reported problems usually were (1) not enough room to document the current performance levels or (2) not enough room to write the objectives and the criteria for these objectives.

Question: Is there a place for all the necessary information?

Yes	No
76%	22%

Again, the majority indicated that there was a place for all the necessary information. A few persons indicated that there was no room for the necessary mandated information. For example, on the assessment plan, it was reported there was no place to indicate the professionals assessing the student.

Question: Was teacher input involved in constructing the forms?

Yes	No	Uncertain
56%	6%	37%

Most of the persons interviewed indicated that they were personally involved in constructing the forms or knew someone who was. It was observed that the persons who did not answer yes to this question had more suggestions for improving the forms.

Question: What information is requested on one, two or more forms that could be deleted?

Nothing	Some repetition	Uncertain	Deletion of Items	Add Items
45%	16%	8%	29%	2%

Some of the professionals interviewed indicated that there was repetition in the agency's forms. Usually these items were the identifying items for the student. Almost one-third of the persons indicated some deletion could be made. Often, these suggestions even included a deletion of mandated items.

Summary regarding form construction. A few of the agencies had incomplete or non-existent directions for completing the required special education documents. The special education documents required some inservice training to complete. The forms were generally legible. There was sufficient room to write on the forms except when the current levels of performance was extensively documented. Often there was not enough space on the forms for the objectives. Many of the professionals indicated that the forms were satisfactory, but some minor changes could help decrease the writing time.

Time Estimates

The special education professionals were asked to estimate the time spent on paperwork. These estimates were difficult to obtain since each agency administered their placement/review process differently. In the master plan districts (or SESRs), the job roles of the various professionals were very similar. In the non-master plan agency, professionals may have had identical titles, but their job roles varied widely from master plan agencies. For this reason, each professional was asked a series of questions in order to determine their participation time in the placement/review process. The amount of time spent completing the process and paperwork could vary within each agency depending on the job role of the professional. The times could also vary depending on the severity of the handicap of the student placed.

The estimates were separated into two areas: (1) the time spent in the placement/review process (process time) and the time spent actually filling out the paperwork once the data had been collected (paperwork time).

The process time and paperwork time were estimated for these types of documents: referral, assessment plan, consent to assess, assessment, notice of the meeting and preparation for the meeting, placement meeting, assessment for annual review, and the annual review meeting. The estimated times for each professional that participates in the placement or review meeting are summarized in Appendix C.

The two items which consumed the most time were the assessment of the student and the team meetings. The actual documentation accounted for a varying percent of the total amount of time spent in placement and review. The time actually spent in completing the paperwork varied from 6 to 12 percent of the total time. The amount of time spent in both documentation and processing varied by the type ot placement with the more severe handicap taking the most time.

When the time spent filling out paperwork was summed for each type of placement with regards to master/non-master plan agency a clear consistent difference did appear. These times are reported in Table 4 below. The master plan agency spent less time completing paperwork for every major type of placement team.

Table 4

Paperwork Time For Master Plan And
Non-Master Plan Placements of
Special Education Students

PLACEMENT FROM	MASTER PLAN	NON-MASTER PLAN	PLACEMENT FROM
Regular Class to DIS	0.72 hrs	1.22 hrs	Regular to DIS
Regular Class to Resource Class	1.12-1.19 hrs	3.16 hrs	Regular to Special Day Class
Resource Class to Special Day Class	0.86-1.80 a 1.64-2.58 b	3.66 hrs	Special Day Class (LH) to Special Day Class (SH)
Special Day Class (LH) to Special Day Class (SH)	1.40-2.84 hrs		

a = special day class teacher and program specialist major participants
b = resource teacher and program specialist major participants in placing the student

The amount of time spent on actually filling out paperwork was also consistently less for the placement of a student in a master plan agency (SESR) for the principal, designated instruction specialist and the special day class teacher. This may be due to the role of the resource specialist teacner. This teacher was reported to handle much of the paperwork of the student's placement, thereby, lessening the load for other site professionals.

The estimated time spent on placement process showed that these same master plan professionals may spend less time on the placement process than the non-master plan professionals. On the other hand, the master plan professional may also spend more time on the placement process of a student than the non-master plan professional (see Table 5). The time spent can vary more for the master plan professional than for the non-master plan professional. So, the minimum time spent could be less for the master plan professional.

Table 5

The Placement Process Time For Master Plan
And Non-Master Plan Professionals
For Each Placement Type

Professional	Master Plan	Non-Master Plan
Principal	0.98-2.28 hrs	1.15-1.79 hrs
Designated Instruction Specialist	1.62-7.16 hrs	1.94-5.72 hrs
Special Day Class Teacher	1.85-4.00 hrs	2.68-4.58 hrs

This finding indicated that the time spent on the placement process was more flexible for the master plan agency than for the non-master plan agency. The master plan professional appears to be able to vary the amount of time spent on a child depending on the needs of the child.

For the master plan annual review, the principal, designated instruction specialist, and special day class teacher spent more time on both the annual review process and the filling out of paperwork for each child.

Yearly time estimates for various professionals. The interviews were constructed to obtain time estimates for actually filling out the paperwork, time estimates for the placement process and time estimates for the review process. These yearly estimates were obtained by asking each professional the number of students placed and the number of students reviewed each year. The estimated time for the year was obtained by the following formula:

> Average time on the activity x average number of students involved in activity per year = Estimated yearly time spent on the activity.

From the yearly estimates, it was found that the master plan special day class teacher, principal and regular teacher spend less time actually filling out paperwork. This was true even though the master plan special day class teacher, designated instruction specialist and principal considered more placement changes than the non-master plan agencies (see Table 6). This finding was considered to be due to the role of the resource specialist. The resource specialist was usually responsible for the assessment of special education children and the coordination of placement meetings at the school site level. One would expect the time used to actually fill out paperwork to be reduced for the special day class teacher, principal and the regular teacher. This was found.

The largest time difference between master plan and non-master plan professionals was for the designated instruction specialist. The master plan designated instruction specialist spent many more hours both in the placement/review process and in actually filling out paperwork than the non-master plan specialist. This was verified by the other interview questions.

The master plan designated instruction specialists reported that they were involved in more placements at the site level. The master plan designated instruction specialists also reported that they were usually involved in more of the learning handicapped placements than they had been involved in before the master plan implementation. Many of the speech therapists considered the additional demands on their time due to the increased documentation. This was a definite distraction from therapy. At the first of the year, large blocks of time were reported to be consumed in assessment paperwork, placement paperwork, and team meetings.

Process time as related to its administration. In order to accurately estimate the times spent in placing and reviewing the program of a special education student, questions regarding the process were asked. Flow charts with respect to the administration of the placement review process were constructed for the major events in the process (see Figures 2-3). The number of team meetings was found to vary widely from agency to agency. The master plan agencies had placement and review processes very similar to each other. The least number of team meetings used to place a student was one. The most team meetings possible for master plan agencies was three (see Figure 2). The usual number of team meetings to place a student was one or two.

The PL 94-142 LEAs usually had a minimum of three team meetings in order to place a student (see Figure 3). Often an assessment team was included making the number of team meetings four.

The most number of meetings encountered in an agency was six. The added factor of inefficiency was that the eligibility and placement meeting had at the least six members (see Figure 4). So, for the LEAs the number of team meetings varied from three to six.

The number of team meetings used to place the student had a multiplier effect on the man hours spent in team meetings. For purposes of demonstration, assume the following:

Table 6

Yearly Estimates For Various Special Education Professionals

9

PROFESSIONAL	Average Number of Students Placed in Special Education per year	Average Number of Students Served in Special Education per year	Hours Per Year Spent on the Placement/Review Process	Hours Per Year Spent on Paperwork in Special Education
Master Plan				
-Designated Instruction Specialist	31.1	61.6	116-310	51
-Resource Specialist	22.4	27.1	174-275	39
-Special Day Class Teacher	7.7	11.7	35-86	7 3/4
-Principal	48.0	83.8	103-182	1
-Teacher*	3.5	-	1½-12	0
Non-Master				
-Designated Instruction Specialist	23.3	55.3	57-77	39
-Special Day Class Teacher	3.9	12.2	40-58	9
-Principal	20.1	119.8	69-91	24
-Teacher*	3.5	-	2½-7½	½-1

*not interviewed but estimated from reported involvement by Special Educators

(1) each team meeting was 1 hour in length, and

(2) the number of persons involved was four.

Then, for the master plan agencies the number of manhours used in placing a student was as follows:

one team meeting

1 x 4 = 4 manhours

two team meetings

2 x 4 = 8 manhours

for the rare three team meetings

3 x 4 = 12 manhours

But for the PL 94-142 LEAs, the minimum number of manhours was as follows:

three team meetings

3 x 4 = 12 manhours

or if an assessment team was included:

four team meetings (with assessment team meeting added)

4 x 4 = 16 manhours.

The most team meetings encountered was six. For this agency, one of the meetings included at the minimum of six members. So the manhours involved would be as follows:

six team meetings

5 x 4 + 6 = 26 manhours.

For the master plan agency the manhours could vary from four to twelve. For the PL 94-142 LEAs the manhours could vary from twelve to twenty-six. So the manhours involved in placement team meetings can vary from four to twenty-six manhours depending on the local administration of the placement process. From just the number of team meetings, the master plan agencies would be more efficient with respect to the professional time than the LEAs.

The bottlenecks in the placement/review process. Toward the end of the questions on time estimates, the teachers were asked what elements in the process and paperwork they considered to be major time consumers. The bottlenecks were identified as follows:

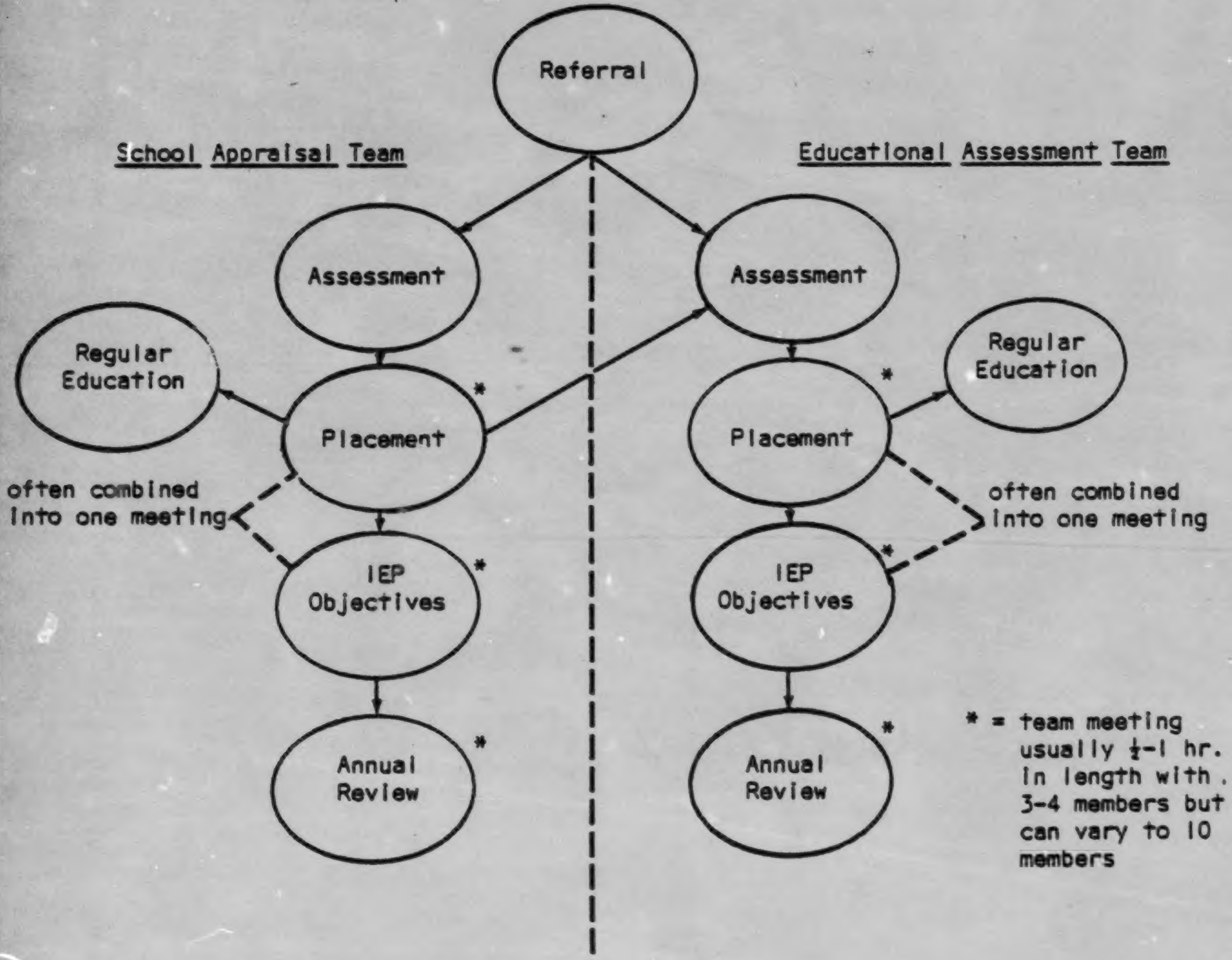
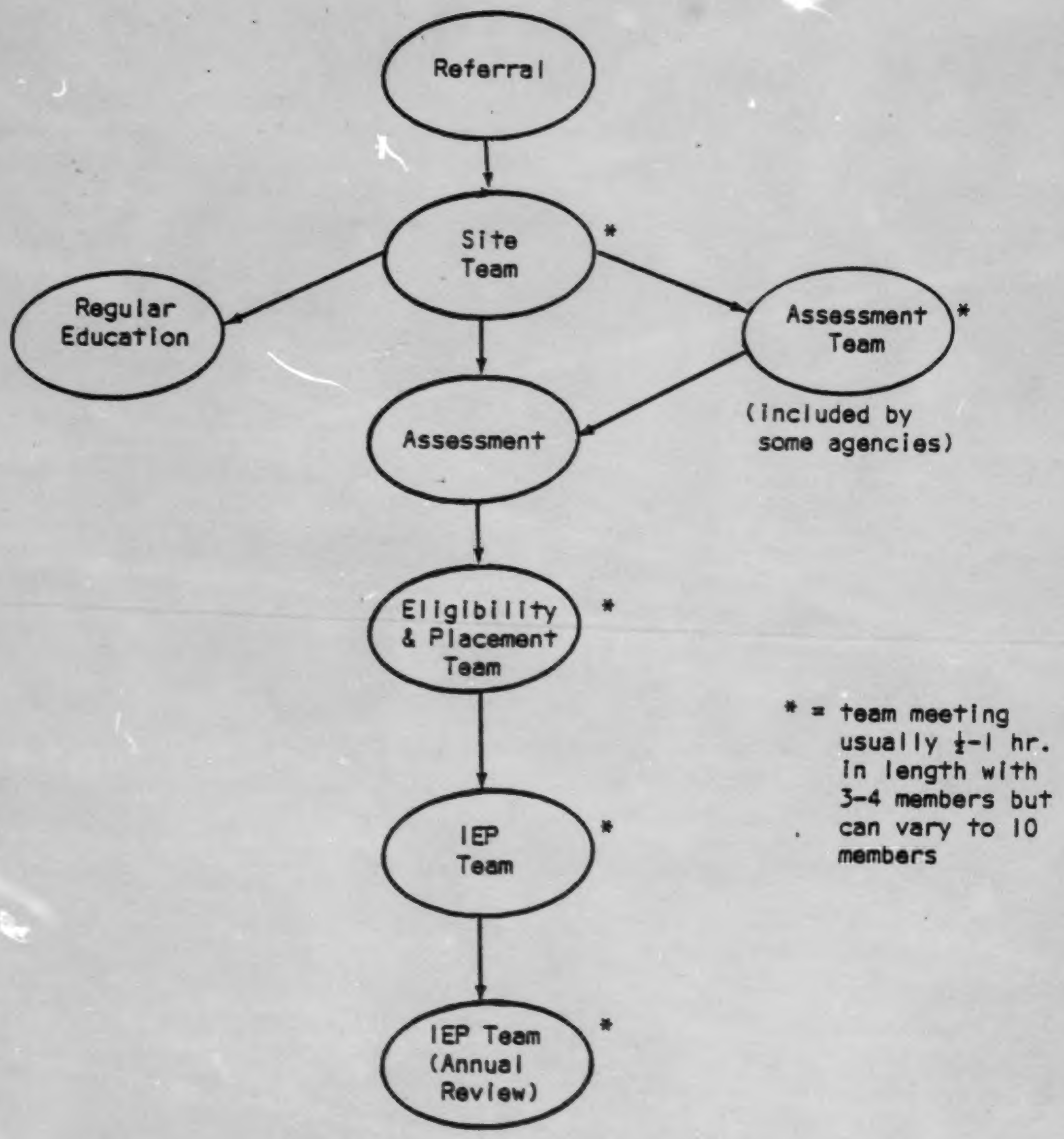

Referral
School Appraisal Team
Educational Assessment Team
Assessment
Assessment
Regular Education
Placement
often combined into one meeting
IEP Objectives
Annual Review
Regular Education
Placement
often combined into one meeting
IEP Objectives
Annual Review
* = team meeting usually ½-1 hr. in length with 3-4 members but can vary to 10 members

Figure 2. Master Plan Placement and Review Process Flow

Number of team meeting for placement:
 if placement and IEP considered together = 1
 if placement and IEP considered separately = 2
 if SAT team referred student to EAS team = 2-3

Number of team meetings for annual review = 1



* = team meeting usually ½-1 hr. in length with 3-4 members but can vary to 10 members

Figure 3. PL 94-142 Placement and Review Process Flow

Number of team meetings for placement = 3

Number of team meetings for placement, if assessment team is included = 4

Number of team meetings for annual review = 1

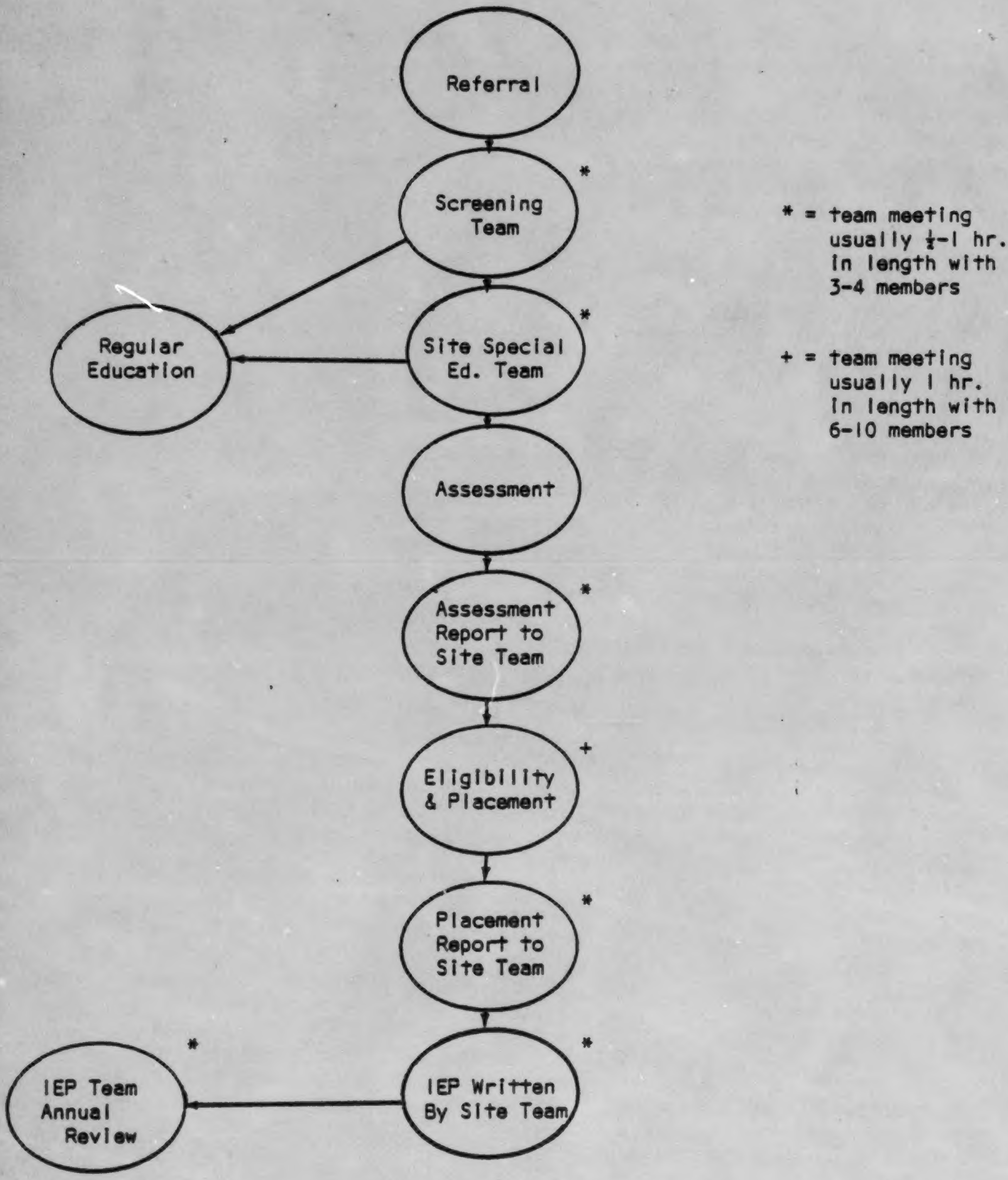

Referral
Screening Team
*
Regular Education
Site Special Ed. Team
*
Assessment
Assessment Report to Site Team
*
Eligibility & Placement
+
Placement Report to Site Team
*
IEP Team Annual Review
*
IEP Written By Site Team
*
* = team meeting usually $\frac{1}{2}$-1 hr. in length with 3-4 members
+ = team meeting usually 1 hr. in length with 6-10 members

Figure 4. PL 94-142 Agency with the Largest Number of Team Meetings in the Placement and Review Process Flow

Number of meetings for placement = 6

number of team meetings for annual review = 1

1. Parent contact. Any kind of parent contact can be time consuming. The type of parent contact was ordered from the least to most time consuming contact. The parent contact was listed as follows: (a) letter, (b) phone call, (c) meeting at school, and (d) meeting at home or place of business. For a single parent contact, the reported time can vary from 5 minutes to 2 hours. The problems which can increase the time are many. The reported parent contact problems are listed as follows: (a) the parent is a working parent and must be contacted during the evening; (b) there is a language or cultural problem; and (c) there is no phone at home and student delivery of a letter is not reliable. The urban agencies usually reported the above parent contact problems more often than the suburban or rural agencies.

2. The assessment of the student. The assessment of the student can consume one to three hours of staff time if the handicap is mild. But, assessment can take three to six hours or more if the handicap is severe.

3. Notifying members of the team meeting. The negotiating of a time to meet can be frustrated by conflicts in calendars, arranging time for the special education teacher to be out of class, and parent unavailability. This gathering the team together can be extremely time consuming, especially if many members are involved. If central office staff were involved, the time to schedule the meeting was reported to increase.

4. Any team meeting. The team meeting can be unpredictable with respect to staff time. The amount of time was usually reported to be one hour. But, a team meeting can take twenty minutes or it can take up to three hours.

5. High student mobility rate. A high student mobility can considerably increase the amount of time that a team spends on placement. Mobility rates of up to one-third of the student population were reported for a year. This one-third rate would increase the time a staff spends in placement by one-third. But, there is no matching increase in money or staff time to compensate for this increase. It was reported that a student often would move before he could be placed in special education classes rendering the expenditure of staff time useless. The urban agency reported that the mobility of the student was a major problem. The problem was also encountered in rural agencies that had a large migrant population or schools near military installations.

Summary of the time spent on paperwork. The time spent on filling out paperwork was a small percentage (6%-12%) of the actual time spent in placing and reviewing a student in special education. The master plan persons at the site level spend less time both completing paperwork and coordinating role of the resource specialist and also the lesser number of team meetings for each placement. The master plan designated instruction specialist spent more time in both placement process and paperwork than the non-master plan designated instruction specialist.

The administration of the placement process can inflate the time considerably. Just an increase in the number of team meetings can inflate the staff hours by a factor of eight. The master plan agencies were more efficient with their staff hours used for meetings than the LEAs.

The major bottlenecks identified were parent contact, assessment of the student, the scheduling of a team meeting, the team meeting and a high mobility rate. Urban agencies appeared to have more problems with establishing parent contact, scheduling the team meetings, and lessening the impact of a higher mobility rate.

Usefulness of the Documentation

Since a large amount of staff time goes into the placement of the student, construction and review of the IEP, the documentation should be viewed as useful to the special educators. A series of questions were asked regarding the usefulness of the special education documentation. These interview questions are presented below along with the percent of the responses in appropriate categories followed by a summary of the comments.

Question: How do you feel the cost of data collection relates to its usefulness?

Useful	Not Useful	Uncertain	
44%	32%	24%	- Percent of Administrators

Only the administrators were asked this question. Many administrators, even the principals, were unaware of the actual time that their staff spent in special education data collection. They considered the time of data collection to be quite large. Some administrators considered this time to be largely non productive, but the administrators who considered this time to be warranted were in the majority.

The majority felt that the documentation helped to identify children that in the past were unserved. The documentation helped assure the parent rights and provided for accountability with respect to services provided. This majority of administrators felt that judgments were now based on the results of a careful assessment rather than the capricious judgment of a single teacher.

Some administrators reported that only parts of the documentation were useful. Other parts were there only to assure that the agency would not be legally liable. Some administrators indicated a necessity to streamline the documentation system. There was a need to be cost efficient to provide the most service at the least cost.

The minority of administrators felt that the cost was unwarranted. Many in this group felt that the due process was like insurance. Due process and consent were only needed for a small percent of students. The agency spent enormous amounts of time documenting to insure against a possible suit involving this small percent.

This same minority usually stated that parts of the documentation were useful - the assessment and goals and objectives. This group also indicated a need to be cost efficient with the data collection. Many of the administrators indicated that the costs have been elevated by the frequent changes in the forms. These changes were considered to be a direct result of the changing mandates from the state and federal governments. Many of the directors supported this idea. The directors indicated that yearly changes and printings of the forms were due to the changing mandates.

A few negative administrators felt that a lot of money had been spent for nothing on paperwork. These administrators felt that judgments could be made on educational placements and programs without the extensive data collection and the formal team meetings involving the parent.

Question: To what extent do the data that you are required to collect in special education relate to the educational decisions that you make?

In every case	In some cases	In no cases	Uncertain	
56%	32%	8%	4%	- Percent of Administrators

In this question, the majority of administrators supported the usefulness of the data collected. A clear majority indicated that the documentation supported the placement decision. The data were consistently used. The data collected were seen as essential to placement and planning. The assessment data were viewed as very valuable to most educational decisions about the student.

The larger minority of administrators (32%) felt that for most students the educational decision was supported by the data collected. In some cases, the educational decision was made by the parent. Often the decision of the parent did not follow from the collected data. In these cases, the parent overrode the educational decision which was supported by the data. Most administrators in this group also indicated that the placement and review process provided information which was critical to their educational decision regarding the special student. The paperwork was seen as just an organizational structure for the decision. This group's comments on the whole were very close to the comments of the majority.

The smallest group of administrators indicated that the data were not useful. The only reason that the data were collected was to comply with the law.

Question: What parts of the paperwork are useful for daily instruction?

Referral	Assessment	Placement	IEP	No Parts	
2%	31%	0%	73%	10%	- Percent of Special Education Teachers

The special education teachers usually indicated that the assessment results and IEP were useful for daily instruction. The parts of the IEP identified as useful were always the goals and objectives. No other part of the IEP was indicated as useful unless a summary of the assessment was included on the district IEP. Many of the special education teachers indicated that the more specific the objectives were, the more the objectives were used for daily instruction. The less specific the objectives, the more likely it was that the IEP would be filed and referred to only occasionally.

The teachers who indicated that the assessment results were useful usually identified specific things which were helpful. These are listed as follows:

1. notes on teacher observations of the student behaviors and the accompanying comments by the teacher,

2. test results which included a diagnosis of skills in math, reading and language,

3. observations of behavior in the classroom by the psychologist,

4. the psychological evaluation report, and

5. the medical evaluation by a nurse or doctor.

A minority of teachers (10%) indicated that no parts were useful. They just constructed the goals and objectives in order to comply with the law and then filed them. They did not consider the goals and objectives to be any help to their teaching. The assessment results were rarely read for diagnostic reasons.

Question: Does the supporting paperwork scatter and distract or add to and focus the aim of the team meeting?

Adds to	Distracts from	Both	Neither	Not Asked	
66%	21%	11%	6%	0%	- Percent of Special Education Teachers
56%	12%	2%	2%	22%	- Percent of Administrators
62%	17%	7%	4%	10%	- Total

Nearly one-quarter of the administrators were not asked this question. This group of administrators reported that they were not directly involved in the team meetings. The remaining administrators consisted largely of principals and special education case managers.

The majority (62%) of the team participants indicated that the paperwork adds to the team meeting. The paperwork reported to function as an agenda for the meeting. The paperwork also helped to focus the attention of the team on documented results of the assessment rather than the observation of an individual about the handicap of the child. The more experienced special education teacher reported making the documentation a natural part of the meeting.

The teachers who reported that the paperwork distracts from the aim of the team meeting were usually new teachers or teachers not experienced in conducting a team meeting. The principals also reported that the paperwork often distracts the inexperienced teacher.

Suggested practices which could increase the efficiency of the team meetings were reported by the participants. These practices are as follows:

1. The person conducting the meeting should have a pre-printed checklist of items to be covered in the meeting available.

2. The case manager should complete as much of the paperwork as possible prior to the team meeting.

3. The case manager should suggest goals and objectives in draft form to present to the parent, but allow the parent to modify the suggestions.

4. Appoint a person to conduct the meeting and a person to record at the meeting. Do not combine these functions, if possible.

Question: Do you feel that the present documentation is useful in assuring that the most appropriate education is delivered to each child?

Yes	In Most Cases	No	
65%	23%	13%	- Percent of Special Education Teachers
66%	24%	10%	- Percent of Administrator
65%	23%	12%	- Percent of Total

Many special education teachers and specialists saw the logical connection between the assessment of the student, identification of needs, determination of eligibility, construction of goals and objectives, placement in program, and periodic review of goals and objectives. They clearly stated that it is this total process and its careful, efficient administration which assures the most appropriate education for the child. The paperwork was seen as just a reflection of the process. The paperwork can be filled out and the most appropriate education not provided. They emphasized that trained people assure the most appropriate education, not the paperwork. The most appropriate education of the child depends largely on the competence of the professionals involved in the process.

The IEP process as outlined by the law was seen as providing many things. Some of these were as follows:

1. The parent was involved in the IEP process along with all the necessary people.

2. A broad assessment using several test was provided. The tests were interpreted by several professionals.

3. A provision was made for the notification of parent rights.

4. Many alternative placements were considered. These placements were verified by several professionals.

5. The IEP process was a useful working procedure. It identified the needs of the child and helps to organize relevant resources.

6. The IEP paperwork provided for an audit trail to keep the teacher on task and goal directed for each child.

7. The paperwork was a record of the child's accomplishments.

8. The paperwork was a useful communication between the parents and professionals as well as just between the professionals.

Many teachers and administrators felt the IEP process could be streamlined. The comments for improvement generally concentrated on suggestions for improvement of the local administration of the IEP process.

Question: What changes in the laws and regulations do you feel could insure a more efficient practice?

Change	No Change	Uncertain	
71%	10%	23%	- Percent of Special Education Teachers
62%	16%	18%	- Percent of Administrators
67%	13%	21%	- Total

The responses to this question ranged widely. Funding was a topic most often addressed. It was felt that there was a need to recognize and fund the cost related to implementing the paperwork mandates. It was felt that the funding had in the past not been related to the added services that the districts were required to perform.

The next subject most frequently addressed was the need for placement criteria. It was felt that the learning handicapped category was too open. If the child was borderline with respect to placement in an LH program, often the determining factor for placement was whether there was space available in the local class. It was also reported that students served in one district were not eligible for the same program in another district, because the criteria varied between districts.

Parent involvement was seen as too extensive in certain areas of the process. There was too much parent consent and due process required. It was seen that for many parents sending home the assessment plan and obtaining the consent to assess was not needed. The parent was reported to be rarely interested in writing the specific objectives once the goals had been constructed. Asking the parent to help write the objectives was seen as a non-productive time consumer. It was suggested that parent involvement be limited to the placement meeting consent to placement and writing of goals.

Many of the special educators reported a need for better preparation by the universities and colleges of new teachers. A better certification of teachers was needed for the areas in which they serve. In-service for both principals and special education teachers was reported to be needed. Better preparation and in-service could help the professionals to be more efficient with the placement and review of the special education student.

There should be a condensation of the placement/review process and a streamlining of the paperwork. The State Department of Education should provide more help in bringing this about.

Question: What kind of attitude do you have toward the processes documented by the paperwork in special education? How do you feel about actually filling out the forms?

	Positive	Negative	Uncertain	Ambivalent	
Process	87%	8%	3%	2%	- Percent of Special Education Teachers
Forms	48%	40%	5%	7%	- Percent of Special Education Teachers

A large number of the teachers interviewed stated emphatically that the present placement and review process was providing "the most appropriate education" for most of the children. It was felt that the processes were achieving the goals of the legislation. The parents were more involved in the education of their children. The special education teachers considered the assessment by several professionals as most helpful in deciding on the placement and educational program of the child. The documented process was seen as valid, natural, and necessary for the placement of the special child. The documented process was helpful to both the parent and the teacher. Few of the teachers were negative about the documented process.

Many of the teachers (48%) saw the forms as useful in the administration of the processes. The forms were seen as important to do a good job. The rest of the teachers (40%) generally admitted that they did not like filling out the special education forms. They reported that it was time consuming and often took away from the teaching effort. But, most of these teachers saw the forms as helping to meet the needs of the student and therefore useful. Any improvement of the forms would be appreciated by the teachers. Most of the teachers who were negative toward the forms had constructive comments for improvement of the forms.

Questions regarding State Forms for Pupil Counts. The district personnel responsible for the completion of State Forms for Special Education Pupil Counts were identified. They were then interviewed regarding this type of form completion. The interview sample size was twenty. The sample included directors, program specialists, management information specialists, and evaluators. Three questions were asked regarding these forms. The questions are as follows:

1. For what federal and state reports in special education are you responsible?

2. What percent of your time goes into the completion of the federal and state reports in special education?

3. To what extent do you feel these reports are used to make local decisions? Could some be eliminated?

The special education director was rarely involved in the data collection for state forms. This function was usually delegated to the Management Information Systems consultant, program specialist, or evaluator. The usual forms that these professionals filled out were the R30 and F3 forms. Federal forms were not usually completed by the local agency.

The reported problems with the R30 forms were as follows:

1. Not enough lead time has been given to fill out the forms. It was reported that one week had been given to fill out the forms, when it takes one month just to gather the data. Reasonable lead times should be adhered to by the State Department of Education.

2. The forms appear not to have been field tested before they are put into use. The categories were reported to be poorly defined. For example, on Form R30, Special Education Pupil Count and Staff Data, 1979-1980, the categories for levels of training were a problem. It was difficult to differentiate between "Awareness" and "Knowledge" and between "Skill Practice" and "Skill Application". There was a problem with obtaining unduplicated counts for the R30, Special Education Pupil Count and Staff Data, 1979-1980 form.

Clear directions were needed for completing the R30 forms. These directions should include a definition of the categories used.

The persons interviewed indicated that there had been a decrease in the amount of paperwork required by the State. They also reported that the forms had improved over time. It was reported that the meetings provided by and phone calls to the Office of Special Education were helpful in completing the forms.

State forms for pupil counts were seen as useful to comply with the law and to provide information for fiscal decisions. The local use of the information contained in the state forms varied widely. Some reported the information to be useless. But, others regarded the information as essential to establish fiscal and staffing policies. The agencies which had MIS systems tended to indicate that the data for the state forms were easier to obtain. These same agencies tended to indicate that the information was of local value.

Summary of the Findings

Both a placement/review process and a documentation system was mandated for special education. Assuring the most appropriate education of the child was the goal of both the placement/review process and the documentation system. The language of the mandates, in some instances, does not clearly state whether a mandated action should be documented. The language differences between the Federal and State mandates can lead to more categories than are needed on the documentation system.

The number of data items mandated for the SESR was seventy-nine; for the LEAs, it was seventy-five. To administer the paperwork system, the SESRs and LEAs need additional data items for student identification and local administration of the documents. Therefore, the SESRs need a paperwork system containing 101 data items; the LEAs system needs a system with 97. In practice, the SESRs collect 132.9 and the LEAs collect 108.2.

The existing forms were not perceived to be a major problem by the special educator. Some deletion was seen as needed. Inservice of teachers and clear directions for the forms were seen as essential.

The SESR special educators spent less time on the placement paperwork for each student than the LEA educators. The SESR special day class teacher, principal and regular teacher spent less time per year filling out paperwork than the comparable LEA professional. This was true even though the SESR professionals considered more placements than the LEA professionals.

The SESRs had fewer team meetings in order to place a student. The number of team meetings had a multiplier effect on the staff time in team meetings.

The major time consumers were parent contact, assessment of the student, scheduling a team meeting, the team meeting, and a high mobility rate in the student population.

The special educators felt that the present placement and review process was providing "the most appropriate education" for a high percent of the children. The documented process was seen as valid, natural, and necessary. They clearly stated that it is this total process and its careful, efficient administration which assure the most appropriate education for the child. Trained people assure that this is provided, not the completion of paperwork. The paperwork can be a useful part of the total process.

CONCLUSIONS

The review of the federal and state laws and regulations indicated that many data items were required to document the placement and review processes. The typical documents on which these mandated data items were collected were the referral sheet, the assessment plan/consent to assess letter, notice of parent rights, notification of the IEP team meeting and the IEP. The IEP was the most complicated of these documents.

The mandated data items could vary from a data items which could be easily documented such as "date of consent to assess" to an item such as "cognitive levels" which could be more difficult to document. According to our analysis of the state and federal mandates, the number of data items which were to be collected on the student documents by the special service region (SESR) was 79. For the PL 94-142 local educational agency (LEA), the number of mandated items was 75 (see Appendix A for a listing of the mandated items). Of the special education student documents, the IEP contained the most mandated data items. The SESR was required to collect 42 data items to document the IEP and the LEA was required to collect 43 data items on the IEP.

Items Collected

The analysis of the special education paperwork from 18 SESRs and 19 LEAs was used to determine what was collected. The SESRs collected an average of 132.9 data items for the student placement and review. The LEAs collected 108.2 data items. On the average, the SESRs collected almost 24 more data items than the LEAs. The range of the number of data items was large. For the SESRs the range for the total number of data items collected was from 79 to 213. For the LEAs, this range was from 83 to 143. The document which had the largest range was the IEP. The SESRs collected from 35 to 123 data items on the IEP. The LEAs collected from 30 to 77 data items on the IEP. Several of the SESRs collected many more data items on their paperwork; these larger numbers tended to inflate the SESR average and widen the SESR range reported. From these findings, it was concluded that several agencies collected many more data items than was necessary to comply with the mandates. The SESRs tended to do this more often.

A further analysis of the special education paperwork indicated that data items are often duplicated on several of the documents. Some of these data items were needed to identify the student. Some data items were needed for the administration of the documents. When these needed data items were added to the mandated data items, the total number was 101 for the SESRs and 97 for the LEAs. Therefore, for an agency to reduce the number of data items well past 100 and remain in compliance would require a change in the mandates.

The large range in the number of data items collected by the agencies could be based partially on the language differences between the state and federal mandates. For example, the state required that a possible area included in the assessment was "affective functioning". The federal regulations listed "social and emotional status" as a possible assessment area. The inclusion of both the state and federal terms on the paperwork did, in fact, increase the total number of data items collected.

The laws and regulations mandated both a placement/review process and a documentation system. In order to assure that the mandated data items would be uniformly collected, the agencies used forms. To the persons constructing the forms, the laws and regulations often were not clear as to whether a mandated action was to be documented. For example, the parent had the right to request a fair hearing, but should the request for a fair hearing be placed as a data item on forms? When agencies placed such items on the forms, it increased the number of data items.

Another reason for including data items on the forms was based on a concern about possible legal actions. The special educators often reported that many of the data items were collected in order to protect the agency against possible suits. This reasoning usually resulted in the inclusion of data items not needed for the basic planning of the student's education.

These two factors, an unclear mandate for documentation and a fear of possible suits, were seen as a basis for the wide range in the number of data items collected by the participating agencies. Therefore, for an agency to minimize the number of data items each agency should carefully examine the reasoning behind every item included on the forms.

Construction of Forms

In order to gain information about the present construction of the forms,questions were asked regarding their construction. For the agencies included in the interview sample, the following conclusions were made: there was enough room in which to write; there was a place for all the necessary information; and some deletion of items could occur. For most of the agencies, directions for completing the forms were clear. Therefore, the way the forms were constructed was not a major problem. Yet, some deletion of items and condensation of the forms could be done.

Suggestions for deletion of items and condensation of the forms were as follows: (a) determine what items need to be included on the forms; include only non-mandated items which are necessary; (b) eliminate data items which are duplicated on one or more pages; (c) duplicate only the items needed to identify the student properly; (d) condense the forms to as few pages as possible, but allow enough space in which to write; and (e) include a form which is an addendum page with the name and birthdate of the student at the top. The addendum page could be used as a continuation page for items of unpredictable length.

Paperwork Bottlenecks

In a search for paperwork bottlenecks, time estimates were made for both the placement/review process and the paperwork. No bottlenecks were found in the completion of paperwork. The major time consumers in the placement and review processes were concluded to be as follows: (a) any contact with the parent such as a letter, phone call, or conference; (b) the assessment of the student for either a change in placement or an annual review; (c) the negotiating of a time, date and place for a team meeting with the members; (d) any team meeting; and (e) a high mobility rate in the student population. It was concluded that these time consumers should be analyzed by each local agency to determine their impact on staff time and on the accompanying paperwork.

An analysis of the time estimates was made from the SESR and LEA professionals involved in the interviews. The following were conclusions regarding these time estimates: (a) the time actually spent in completing placement/review paperwork was one-tenth of the time spent on the placement/review process; (b) the time spent completing paperwork for a SESR placement was less than for a LEA placement; (c) the SESR team member spent less time per year filling out paperwork than the corresponding LEA team member; (d) the ability to differentiate time in the process according to the needs of the student was greater for the SESR team than the LEA team; and (e) the SESRs used fewer meetings to place a student than the LEAs. The larger number of team meetings increased the amount of LEA staff time used to place a student.

The interviews with special educators established several needs related to paperwork. These needs were as follows: (a) recognize and fund the costs related to the implementation of the paperwork mandates; (b) expend a greater local effort to make the data collection cost effective; and (c) provide better preparation of teachers regarding the placement/review processes and the accompanying documentation.

Administrative Views of Paperwork

According to our analysis of the interviews, administrative decisions regarding items to include in the paperwork were made from two different viewpoints. These viewpoints were as follows:

Legal viewpoint. This approach viewed the paperwork as a necessary evil. The paperwork was used to establish that the agency was in compliance with the mandates. Data items were included on the paperwork mainly to establish compliance. In order to safely comply, data items of questionable mandate were included on the paperwork.

The paperwork was designed to insure against any possible suit. Data items on due process details were included on the forms to document the agency's intent to provide the proper educational service.

Educational planning viewpoint. This approach valued the total processes of placement and review. The placement/review processes assured the most appropriate education for the child. The careful, efficient administration of this total process established the most appropriate education for the child. This efficient administration depended largely on trained, competent professionals. The paperwork was seen as just an organizational tool to help bring about the most appropriate education for the child. The current documentation was useful in assuring that the most appropriate education was delivered, but, without a trained staff, the documentation was not a sufficient condition for delivery.

The following findings supported the educational planning viewpoint: (a) the parent involvement in the IEP meeting was seen as beneficial to the child's education by most of the educators interviewed; (b) the assessment results were considered by the administrators to be a real support to the placement decision; (c) a large majority of the special education teachers considered the assessment results, goals and objectives to be useful in the daily instruction; (d) most teachers considered the forms to be useful in the placement and review processes, but admitted that they did not like filling out the forms; and (e) generally, the paperwork was seen as a definite support in conducting the IEP team meetings. However, if the person conducting the meeting was inexperienced, the supporting paperwork could be a distraction.

Even though the legal aspects play a part in deciding which data should be collected, it was concluded that the value of the data item to educational planning should be the basis for including an item on the paperwork.

Conclusions consistent with this educational planning viewpoint regarding paperwork were as follows:

1. Since the paperwork was an organizational tool, the number of data items collected should be minimized. Enough information should be provided for the effective administration of the placement and review processes.

2. Since the placement and review processes provided the most appropriate education, enough information should be documented to support good educational decisions in the team meetings.

3. Since the educational planning was the major function of the paperwork, the minimal amount of data needed to assure a due process should be identified by the State Department of Education.

4. Since a trained, competent staff provided the most appropriate education, inservice should be provided on the proper administration of the placement and review processes. This inservice should include the proper use of the assessment results, goals and objectives. New or inexperienced teachers should be provided training regarding the completion of paperwork

5. Since the paperwork was simply an organizational tool to assure the most appropriate education, the most effective administration of the placement and review processes should be identified by the State Department of Education. Then, construct a documentation system consistent with this effective administration.

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APPENDIX A: SUMMARY OF LEGAL REFERENCES FOR THE PAPERWORK REQUIREMENTS IN SPECIAL EDUCATION

The following summary table refers to state and federal legislation and rules and regulations which provide the reasons for many of the items contained in special education forms. The references have been separated by two categories: (1) the laws which apply to the Special Education Service Regions and (2) the laws which apply to the Public Law 94-142 local educational agency.

After the summary table, the references are quoted and matched with the specific item contained in the special education forms.

The legal sources are:

(1) California Education Code (as amended by AB1250 and AB3635)
(2) California Administrative Code, Title 5 Regulations
(3) Code of Federal Regulations, Title 45, amended in compliance with Public Law 94-142 as presented in Federal Register, Volume 42, No. 163 (August 23, 1977) and No. 250 (December 29, 1977), Part 121a, Assistance to States for Education of Handicapped Children.
(4) United States Code, Title 20, Sections 1401-1411 (as amended by Public Law 94-142).

The above legal sources coded as follows:

(1) California Education Code = EC
(2) California Administrative Code = CAC
(3) Code of Federal Regulations = CFR
(4) United States Code = USC

TOPIC	SPECIAL EDUCATION SERVICE REGION	LOCAL EDUCATIONAL AGENCY (PL94-142)
Referral Paperwork		
.Rationale	CFR 505(a)(2) CAC 3103	CFR 505(a)(2)
.Date of referral	CAC 3105(d)	CAC 3303(b)
.Parental notice of referral	CFR 504, 505	CFR 504, 505
.Primary language of the home	CAC 3104(a), EC 56337(a)	CAC 3304(d)
.Facts which make referral necessary	EC 56337(a)	
.Explanation of procedural safeguards	CFR 505(1)	CFR 505(1)
.Description and explanation of action proposed	CFR 505(1)	CFR 505(1)
.Parental understanding of the context of the notice - in native language	CFR 505(c)	CFR 505(c)
.Statement describing programs and services available	CAC 3104(b)	CAC 3303(b)
.Parental consent to referral assessment	CFR 504(b)	CFR 504(b)
.Parental consent date	EC 56337(a)	CAC 3304(d)
Assessment Paperwork		
.Consent to assessment	CFR 504(b)(1), EC 56337(a), CAC 3105(e)	CFR 504(b)(1), CAC 3304(d), CAC 3305(a)
.Consent to assessment date	EC 56337(a)	CAC 3304(d), CAC 3305(a)
.Parent notice of assessment	CFR 504, 505 EC 56337(a)	CFR 504, 505
-primary language of the home		
-explanation of procedures and objectives of assessment and the facts which make assessment necessary	CFR 504, 505 EC 56337(a) CAC 3105(a)	CFR 504, 505 CAC 3304
-explanation of procedural safeguards and description and explanation of action proposed	CFR 505(1)	CFR 505(1)

TOPIC	SPECIAL EDUCATION SERVICE REGION	LOCAL EDUCATIONAL AGENCY (PL94-142)
.Parent notice of assessment (cont'd)		
-parental understanding of the context of the notice in native language	CFR 505(c)	CFR 505(c)
.Ethnicity (non-discriminatory testing)	CFR 530(b), CAC 3105(a)	CFR 530(b) CAC 3304(d)
.Assessment materials in pupil's primary language	CFR 532(a) CAC 3105(a) 20 USC 1412(5c)	CFR 532(a) CAC 3304(d) 20 USC 1412(5c)
.No single procedure used as sole criterion	CFR 532(3d)	CFR 532(3d)
.Possible areas of assessment:	CFR 532(3f)	CFR 532(3f)
-health -vision -hearing -social status -emotional status -general intelligence -academic performance -communicative status -motor abilities		
.Possible areas of assessment:	EC 56330(b)	CAC 3304(f)
-educational -psychoeducational -health and include the areas: .development in language .cognitive .affective .sensory .sensory motor		
.Complete and specific written record of:	EC 56337(a) CFR 505(a)(3)	CFR 505(a)(3)
-diagnostic procedures -conclusions reached -suggest course of education -anticipated duration -specific objectives		

TOPIC	SPECIAL EDUCATION SERVICE REGION	LOCAL EDUCATIONAL AGENCY (PL94-142)
.Report to the parent of assessment findings -explanation of action -description of options -description of evaluation procedure -description of any other relevant factors	CFR 505(a) EC 56337(c) CFR 533	CFR 505(a) CFR 533
.Completion date of assessment	CFR 534	CFR 534 CAC 3305(a)
Placement Paperwork (usually included on the IEP)		
.Persons in attendance of placement meeting	CFR 344 CAC 3106.5(a)	CFR 344 CAC 3306(a)
.Parent notification of meeting -scheduled at a mutually agreed time and place -purpose, time, location of meeting and persons in attendance	CFR 345	CFR 345
.Listing of special education settings	CAC 3106.5(a) CAC 3106.5(f)	CAC 3306(a) CAC 3306(f)
.Parent agrees to assessment findings	CAC 3108	CAC 3307.5
.Parental consent to placement	CFR 504(b) EC 56338 EC 56507(5)	CFR 504(b) CAC 3308(a)
.Rationale for least restrictive environment	CFR 533(a)(4)	CFR 533(a)(4)
.Findings of assessment -variety of sources -placement criteria documented -parent notice of assessment findings	CFR 533 EC 56337(c)	CFR 533
.Assessment conference upon parental request	EC 56337(c)	
.Extended school year	CAC 3106.5(e)	CAC 3306(e)

TOPIC	SPECIAL EDUCATION SERVICE REGION	LOCAL EDUCATIONAL AGENCY (PL94-142)
.Consultation with team member (parental consent)	EC 56338	
.Primary language of home	CAC 3106.5(d)	CAC 3306(d)
.Log of parent contact	CFR 345(d)	CFR 345(d)
-telephone calls -correspondence -visits to home and place of employment -results of contact		
IEP Paperwork		
.Meeting type	CFR 343(d) CAC 3107 EC 56336.2	CFR 343(d) CAC 3307
-SAT -EAS -Review		
.Eligibility for special education	CFR 533(b)	CFR 533(b)
.Birthdate or Age	CFR 123	CFR 123
.Classification	EC 65302(g)	
.Programs required	CFR 346(c) EC 56336.5(a)(3) CAC 3106.5(a)(3)	CFR 346(c) CAC 3305(d)(1)
.Effective date of program and duration	EC 56336.5(a)(4) CAC 3106.5(a)(4)	
.School of service	CFR 522(a)(3)	CFR 522(a)(3)
.Team members present	CFR 334(a) EC 56336.2	CFR 334(a) CAC 3305(d)(4),(e)
.Notice of parent rights	CFR 121 EC 56507	CFR 121 CAC 3302
.Parental consent	CFR 504(b)(1) EC 56338	CFR 504(b)(1)
-signature(s)		
.Date of consent and date of implementation	CFR 342(b)(2) CAC 3106(a) EC 56336.5(a)(4)	CFR 342(b)(2) CAC 3306(a)(3),(4)

TOPIC	SPECIAL EDUCATION SERVICE REGION	LOCAL EDUCATIONAL AGENCY (PL94-142)
.Present levels of educational performance	CFR 346 EC 56336.5(a) CAC 3106.5	CFR 346 CAC 3306(a)(1)
.Placement rationale	CFR 552	CFR 552
.Extent of integration	CFR 346 CAC 3106.5(a)(3) EC 56336.5(a)(3)	CFR 346 CAC 3306(a)(6)
.Projected date of initiation of the services and duration of services	CFR 346(d) EC 56336.5 CAC 3106.5(a)(4)	CFR 346(d) CAC 3306(a)(4)
.High school graduation status for: -English -American History -American Government -Mathematics -Science -Physical Education	EC 56336.5(c) CAC 3106.5(c) EC 51225	CAC 3306(c) EC 51225
.Annual goals	CFR 346(b) EC 56336.5(a)(4) CAC 3106.5(a)(2)	CFR 346(b)
.Goal and specific objectives	CFR 346(d) EC 56336.5(a) CAC 3106.5(a)(2)	CFR 346(d) CAC 3306(a)(2),(b)
.Appropriate objective criteria	CFR 346 EC 56336.5(a)(5) CAC 3106.5(a)(5)	CFR 346 CAC 3306(a)(5)
.Evaluation, criteria and schedules	CAC 3106.5(a)	CAC 3306
.Linguistically appropriate goals	CAC 3106.5(d)	CAC 3306(d)
.Person responsible for implementing IEP		CAC 3306(b)
.Annual review	CFR 552	CFR 552
.Periodic review	EC 56336.5 CAC 3106.5(b)	CAC 3306(b)

TOPIC	SPECIAL EDUCATION SERVICE REGION	LOCAL EDUCATIONAL AGENCY (PL94-142)
Federal Data Requirements for Program Evaluation		
.Provide information necessary for state agency to perform its duties	20 USC 1414	20 USC 1414
-specific performance criteria		
-educational achievement		
.Provide for record keeping	20 USC 1418	20 USC 1414
.Provide:		
-the number of handicapped children with each disability		
-the number of handicapped within each disability in regular education		
-the number of handicapped children removed from regular education		
-the number of handicapped children receiving an appropriate education, and those not receiving one		
-the number of personnel by disability category employed in the education of the handicapped children		
-estimated number of handicapped children		
.For each current school year:	CFR 123	CFR 123
-number of handicapped children 0-2 years		
-number of handicapped children:		
.receiving a free appropriate public education		
.not receiving a free appropriate public education		
.in public institutions		
.in public institutions not receiving a free appropriate education		
-estimated number of handicapped children for next year		
-description of data base		
-each estimate and count by disability category and age range		
-additional number of various types of special education teachers needed and number currently employed		

TOPIC	SPECIAL EDUCATION SERVICE REGION	LOCAL EDUCATIONAL AGENCY (PL94-142)
.For each current school year	CFR 126(b)	CFR 126(b)
-number of additional DIS specialists needed or currently employed		
-total number of personnel and salary costs		
-number and kind of special education facilities needed and in use		
-total number of transportation units needed and in use for special education		
.For the above categories:	CFR 146 CFR 232	CFR 146 CFR 232
-estimates for serving all handicapped children: .current year data .estimates for next year		
-annual evaluation to assess effectiveness of programs in meeting educational needs		
-enabling regulation for state educational agency to collect data to perform its duties		
State Data Requirements For Program Evaluation		
.Annual Report	EC 56350	
.Program evaluation to include:	EC 56350	
-program costs		
-pupils by classification		
-placement of pupils in non-restrictive environment		
-pupils transferred		
-racial and ethnic distribution		
.Program outcome to include:	ED 5350	
-pupil performance		
-placement of pupils in non-restrictive environment		
-degree to which services are provided		
-parent, pupil, teacher and administrator satisfaction with services and process provided		

TOPIC	SPECIAL EDUCATION SERVICE REGION	LOCAL EDUCATIONAL AGENCY (PL94-142)
.Numbers of pupils with exceptional need by:	ED 5350	
-racial and ethnic data		
-special ed program		
.CH		
.PH		
.LH		
.SH		

CODE REQUIREMENTS

Topic	Referral
Referral Rationale	CFR 121a.505(a)(2) A description of the action proposed or refused by the agency, an explanation of why the agency proposed or refuses to take the action ... See also CAC 3103.
Date of referral	CAC 3105(d) Each responsible local agency shall complete the assessment plan and inform the parent of the consent plan within fifteen school days from the day of referral. (See also CAC 3303(b).
Parent notice of referral Primary language	CAC 3104(a) Written notice in the primary language shall be given to each parent of an individual with exceptional needs, or one who is thought to need special education services, providing information in accordance with CAC 56337(a) and 56337(c) and Title 45, Code of Federal Regulations, Sec. 121a.504 and 505 (see also CAC 3304(d)).
Explain procedure and objective of assessment Facts which make referral necessary	EC 56337(a) This written notice shall be in ordinary and concise language and in the primary language of the pupil's home, and shall fully explain the procedure and objective of the assessment and the facts which make an assessment necessary or desirable.
Explanation of procedural safeguards Description and explanation of action proposed	CFR 121a.505 (1) A full explanation of all procedural safeguards available to the parents under subpart E. (2) A description of the action proposed or refused by the agency, an explanation of why the agency proposes or refuses to take action. (3) A description of each evaluation procedure, test, record, or report the agency used as a basis for the proposal or refusal.
Parental understanding of the content of the notice in native language	CFR 121a.505(c) If the native language or other mode of communication of the parent is not a written language, the state or local educational agency shall take steps to ensure: (1) that the notice is translated orally or by other means to the parent in his or her native language or other mode of communication, (2) that the parent understands the content of the notice, and (3) that there is written evidence that the requirement in paragraph (c)(1) and (2) of this section has been met.
Statement describing programs and services available	CAC 3104(b) In addition to the required content of the notice in subsection (a) (Notice to Parent), each Special Education Service Region shall include in the written notice a statement describing the programs and services available. Such a notice shall be delivered within fifteen (15) school days from the day of referral. See also CAC 3303(b).

Topic	Referral
Parental consent to referral assessment	CFR 121a.504(b) Consent (1) Parental consent must be obtained before (i) conducting a pre-placement evaluation,...
Parental consent date	EC 56337(a) ..., the consent of the parent of the pupil shall be obtained and the parent of the pupil shall be given written notice of the intended assessment and be given at least 10 school days in which to arrive at a decision before assessment begins (see also CAC 3304(d)).

ASSESSMENT PAPERWORK

Topic	Assessment
Consent to assessment	CFR 121a.504(b)(1). See also EC 56337(a), CAC 3304(d), CAC 3305(a), and CAC 3105(e).
Consent to assessment date	CFR 121a.504 Written notice which meets the requirements under 121a.505 must be given to the parents of a handicapped child a reasonable time before the agency: (1) proposed to initiate or change the identification, evaluation, or educational placement of the child ... See also EC 56337(a), CAC 3105(a) and CAC 3304.
Primary language of home	See parent notice of referral and CFR 121.504 and 505.
Explain procedure and objective of assessment and facts which make assessment necessary	See parent notice of referral and EC 56337(a) or CFR 121a.505(a).
Explanation of procedural safeguards and description and explanation of action proposed	See referral assessment and CFR 121a.505(1).
Parental understanding of the context of the notice in native language	See referral assessment and CFR 121a.505(c).
Ethnicity	CFR 121a.530(b) Testing and evaluation materials and procedures used for the purposes of evaluation and placement of the handicapped children must be selected and administered so as not to be racially or culturally discriminatory. See also CAC 3105(a). All assessment materials and procedures should meet the department's specifications for non-discriminatory assessment. See also CAC 3304(d).
Assessment materials in pupil's primary language	CFR 121a.532 State and local educational agencies shall ensure, at a minimum, that: (a) tests and other evaluation materials: (1) are provided and administered in the child's native language or other mode of communication, unless it is clearly not feasible to do so ... CAC 3105(a) With limited English-speaking individuals, the assessment plan shall include and use materials and procedures that are in the primary language of the individual. All such assessment materials and procedures should meet the department's specifications for non-discriminatory assessment. See also PL 94-142, Sec. 612(5)(c) and CAC 3304(d).

Topic	Assessment
No single procedure used as sole criterion	CFR 121a.532(3d) No single procedure is used as the sole criterion for determining an appropriate educational program for the child;...
Possible areas of assessment as appropriate ·health ·vision ·hearing ·social and emotional status ·general intelligence ·academic performance ·communicative status ·motor abilities	CFR 121a.532(3f) The child is assessed in all areas related to the suspected disability, including where appropriate, health, vision, hearing, social and emotional status, general intelligence, academic performance, communicative status, and motor abilities. EC 56330(b) Assessment procedures shall include provisions for educational assessment, psychoeducational assessment, and health assessment as appropriate. Such procedures shall include provisions for the assessment of the individual's development in language, cognitive, affective, sensory, and sensory motor functioning. See also CAC 3304(f).
Complete and specific written record of (1) diagnostic procedures (2) conclusions reached (3) suggested course of education suited to needs (4) anticipated duration (5) specific objectives	EC 56337(a) Those persons assessing the pupil shall maintain a complete and specific written record of diagnostic procedures employed, the conclusions reached, the suggested course of education or treatment best suited to the pupil's needs, its anticipated duration, and specific objectives to be attained. See also CFR 121a.505(a)(3).
Report to the parent of the assessment findings (1) explanation of action (2) description of options (3) description of evaluation procedure (4) description of any other relevant factors	CFR 121a.505 (a) the notice under 121a.504 must include:... (2) a description of the action proposed or refused by the agency, an explanation of why the agency proposes or refuses to take action, and a description of any options the agency considered and a description of any options the agency considered and the reasons why these options were rejected; (3) a description of each evaluation procedure, test, record or report the agency uses as a basis for the proposal or refusal; and (4) a description of any other factors which are relevant to the agency's proposal or refusal.
	EC 56337(c) The parent of the pupil shall be notified in writing in ordinary and concise language and in the primary language of the pupil's home, of the findings of the assessment, the recommended educational decision, and the reason for the procedures. See also 121a.533.
Completion date of assessment	CFR 121a.534 Each state and local educational agency shall ensure:...(b) that an evaluation of the child based on procedures which meet the requirements under 121a.532 is conducted every three years or more frequently if the conditions warrant, or if the child's parent or teacher requests an evaluation. See also CAC 3305(a).

PLACEMENT MEETING
PAPERWORK

Topic	Placement
Persons in attendance	CFR 121a.344(a) The public agency shall ensure that each meeting includes the following participants: (1) a representative of the public agency, other than the child's teacher, who is qualified to provide or supervise the provisions of special education. (2) the child's teacher. (3) one or both of the child's parents, subject to 121a.345. (4) the child, where appropriate. (5) other individuals at the discretion of the parent or agency. (6) evaluation personnel. For a handicapped child who has been evaluated for the first time, the public agency shall ensure (1) that a member of the evaluation team participates in the meeting; or (2) that the representative of the public agency, the child's teacher, or some other person is present at the meeting who is knowledgeable about the evaluation procedures used with the child, and is familiar with the results of the evaluation. (see also CAC 3106.5(a) and CAC 3306(a).
Parent notification of the placement meeting Scheduling at a mutually agreed time and place Purpose, time location of meeting, persons in attendance	CFR 121a.345(a) Each public agency shall take steps to ensure that one or both of the parents of the handicapped child are present at each meeting or are afforded the opportunity to participate, including: (1) notifying the parents of the meeting early enough to ensure that they will have an opportunity to attend; and (2) scheduling the meeting at a mutually agreed on time and place. (b) The notice under paragraph (a)(1) of this section must indicate the purpose, time, and location of the meeting and who will be in attendance.
Listing of Special assessment findings	CAC 3106.5(a) ... A parent has a right to an independent assessment at public expense if the parent disagrees with an assessment obtained by a school district. See also CAC 3307.5.
Rationale for a lease restrictive environment	CFR 121a.533(a)(4) Insure that the placement decision is made in conformity with the least restrictive environment rules in CFR 121a.550-121a.554.

Findings of the assessment Variety of sources Placement criterion documented	CFR 121a.533 Placement procedures (a) In interpreting evaluation data and in making placement decisions, each public agency shall: (1) draw upon information from a variety of sources, including aptitude and achievement tests, teacher recommendations, physical conditions, social or cultural backgrounds and adaptive behavior: (2) Ensure that the information obtained from all of these sources is documented and carefully considered.
Parent notice of the findings of the assessment Assessment conference upon parental request	EC 56337 (c) The parent of the pupil shall be notified in writing in ordinary and concise language and in the primary language of the pupil's home, of the findings of the assessment, the recommended educational decision, and the reasons therefor. The notice shall state that: (1) a conference with the parent and his or her representative will be scheduled upon request.
Consultation with team members	EC 56338 Parental consent to participation ... After consultation with a member of the school appraisal team or educational assessment service, such consent may be withdrawn at any time.
Extended school year	CAC 3106.5(e) Extended school year services when needed, as determined by the School Appraisal Team or Educational Assessment Service, shall be documented in the individualized education program. See also CAC 3306(e).
Linguistically appropriate education program	CAC 3106.5(d) In the case of United-English-speaking individuals, the individualized education program should provide for linguistically appropriate goals, objectives, programs, and services. See also CAC 3306(d).
Log of parent contact	CFR 121a.345(d) A meeting may be conducted without a parent in attendance if the public agency is unable to convince the parents that they should attend. In this case, the public agency must have a record of its attempts to arrange a mutually agreed on time and pla-e such as: (1) detailed records of telephone calls made or attempted and the results of those calls, (2) copies of correspondence sent to the parents and any responses received, and (3) detailed records of visits made to the parent's home or place of employment and the results of those visits.
Parent consent to placement	EC 56338 No pupil may be required to participate in any special class or program under this chapter unless the parent of the pupil is first informed of the facts which make participation in the special program necessary or desirable and thereafter consents in writing to such a participation. See also CAC 3308(a).

IEP
PAPERWORK

Topic	IEP
Meeting type SAT, EAS or Review	EC 56336.2 Each local comprehensive plan shall provide for at least two levels of teams for review and decisions on eligibility, individualized education and placement. These two levels shall be a school site level called the school appraisal team, and a regional level called the education assessment team. (See also CFR 121a.343(d), CAC 3107 and CAC 3307).
Eligible for Special Education	CFR 121a.533(b) If a determination is made that a child is handicapped and needs special education and related services, an individualized education program must be developed for the child in accordance with CFR 121a.340 - 121a.349 of subpart e.
Birthdate or Age	CFR 121a.123
Classification	EC 65302(g) Programs for the communicatively handicapped serve those pupils with disabilities in one or more of the communication skills such as language, speech and hearing. Programs for the physically handicapped serve those pupils with physical disabilities such as vision, including disabilities within the function of vision resulting in visual perceptual or visual motor dysfunction, and mobility impairments and orthopedic or other health impairments. Programs for the learning handicapped serve pupils with significant disabilities in learning or behavior such as learning disabilities, including disabilities resulting from visual perceptual disorders and visual motor disorders, behavior disorders, and educational retardation. Programs for the severely handicapped serve pupils with profound disabilities and who require intensive instruction and training such as the developmentally disabled, trainable mentally retarded, autistic, and seriously emotionally disturbed.
Programs required	EC 56336.5(a)(3) The individualized education program shall be a written statement determined in a meeting of a school appraisal team or educational assessment service team which shall include...(3) the specific educational programs and services required by the pupil and the extent the pupil will be able to participate in regular educational programs... See also CAC 3106.5(a)(3), CFR 121a.346(c) and CAC 3305(d)(1).

Topic	IEP
Effective date of program and duration	EC 56336.5(a)(4) ...the projected date of initiation and anticipated duration of such programs and services... See also CAC 3106.5(a)(4).
School of service	CFR 522(a)(3) Each public agency shall ensure that (a) each handicapped child's educational placement: (3) is as close as possible to the child's home,...(c) unless a handicapped child's individualized educational program requires some other arrangement, the child is educated in the school which he or she would attend if not handicapped;...
Team members present	CFR 121a.344(a) General The public agency shall ensure that each meeting includes the following participants: (1) a representative of the public agency, other than the child's teacher, who is qualified to provide or supervise the provision of special education. (2) the child's teacher. (3) one or both of the child's parents subject to CFR 121a.345. (4) the child, where appropriate. (5) other individuals at the discretion of the parent or agency. (b) Evaluation personnel. For a handicapped child who has been evaluated for the first time, the public agency shall ensure: (1) that a member of the evaluation team participates in the meeting; or (2) that the representative of the public agency, the child's teacher, or some other person is present at the meeting who is knowledgeable about the evaluation procedures used with the child and is familiar with the results of the evaluation. See also CAC 3305(d)(4)(e).
School appraisal team members	EC 56336.2 Each local comprehensive plan shall provide for at least two levels of teams for review and decisions on eligibility, individualized education program, and placement. These two levels shall be a school site level, called the school appraisal team, and a regional level, called the educational assessment service team. (a) The school appraisal team. The minimum membership of the school appraisal team for purposes of review and decisions on eligibility, individualized education program shall be: (1) the school principal or his or her administrative designee; (2) the special education teacher(s) or specialist(s) most appropriate to the needs of the pupil, and; (3) the parent, at the option of the parent, or both, or if neither the parent nor a representative agree to attend, a pupil

Topic	IEP
School appraisal team members (continued)	services worker of the district or Special Education Services Region who is not supervised primarily by the school principal, such member to serve as a child advocate. See EC 56336.2 for additional members.
Educational assessment service team	EC 56336.2(b) Educational assessment service. The educational assessment service shall consist of professional specialists representing health services, psychology, social work, speech, language, hearing, and special education, who shall conduct assessments as appropriate and participate in the development of the individualized education program and make recommendations for placement of pupils referred to the education assessment service. The minimum membership of an educational assessment service team for purposes of review and decisions on eligibility, individualized education program, and placement for any pupil shall be: (1) a program specialist or special education administrator appropriate to the needs of the pupil; (2) the special education teacher or teachers or specialist or specialists most appropriate to the needs of the pupil; (3) professional member or members of the educational assessment service who has personally assessed the pupil, whenever the results or recommendations based on such an assessment are significant to the development of the pupil's individualized education program and placement, and (4) the parent, at the option of the parent, or a representative selected by the parent, or both, or if neither parent nor a representative agree to attend, a pupil services worker of the district or Special Education Services Region, such member to serve as a child advocate. See EC 56336.2(b) for additional membership.
Parent rights notice	EC 56507 Procedural Due Process. (a) Both a parent and a pupil are guaranteed and may initiate procedural due process protection in any decision regarding and resulting from the pupil's identification as an individual with exceptional needs; the pupil's identification as an individual with exceptional needs; the pupil's assessment and the implementation of the individualized education program; and the denial, placement, transfer, or termination of the pupil in a special or related services program (for list of rights see EC 56507).

IEP

Topic	
Parental consent	CFR 121a.504(b) (1) Parental consent must be obtained before: (ii) initial placement of a handicapped in a program providing special education and related services. EC 56338 Parental consent to participation. No pupil may be required to participate in any special class or program unless the parent of the pupil is first informed of the facts which make participation in special program necessary or desirable and thereafter consents in writing to such participation.
Date	CFR 121a.342(b)(2) When individualized education programs must be in effect. (b) An individualized education program must: (2) be implemented as soon as possible following the meetings under CFR 121a.343.
Date of implementation of IEP	CAC 3106(a) ..., the Individualized Education Program shall be implemented as soon as possible but not later than twenty (20) school days following its development; except that in a situation where an appropriate placement cannot be made within twenty (20) school days, a projected date for placement and the reason for the delay shall be stated in the Individualized Education Program, and the parent shall receive a copy. See also EC 56336.5(a)(4) and CAC 3306(a)(3),(4).
Present levels of educational performance	CFR 121a.346 The individualized education program for each child must include: (a) a statement of the child's present levels of educational performance. EC 56336.5(a) The individualized education program shall be a written statement determined in a meeting of a school appraisal team or educational assessment service team which shall include (1) the present levels of the pupil's educational functioning,... See also CAC 3306(a)(1) and CAC 3106.5.
Placement rationale	CFR 121a.552 Each public agency shall ensure that (a) each handicapped child's educational placement: (2) is based on his or her individualized education program.
Percent of integration	CFR 121a.346 The individualized education program for each child must include: (a) statement of the specific special education and related services to be provided to the child, and the extent to which the child will be able to participate in the regular programs. See also CAC 3106.5(a)(3), EC 56336.5(a)(3) and CAC 3306(a)(6).

Topic	IEP
Projected date of initiation of services Duration of the services	CFR 121a.346(d) The individualized education program for each child must include (d) the projected dates for the initiation of services and the anticipated duration of the services;... See also EC 56336.5(a)(4), CAC 3106.5(a)(4) and CAC 3306(a)(4).
High School graduation status	EC 56336.5(c) A secondary grade level pupil's individualized education program shall also include any alternative means and modes necessary for the pupil to complete the district's prescribed course of study and meet or exceed proficiency standards for graduation, in accordance with section 51225. See also CAC 3106.5(c) and CAC 3306(c).
Subjects required for diploma	EC 51225 No pupil shall receive a diploma of graduation from high school who has not completed the course of study prescribed by the governing board. Requirements for graduation shall include: (a) English, (b) American history, (c) American government, (d) mathematics, (e) science, (f) physical education, unless the pupil has been exempted pursuant to the provision of this code, (g) other subjects as may be prescribed.
Annual goals	CFR 121a.346(b) The individualized education program for each child must include: ...(b) a statement of annual goals, including short-term instructional objectives. See also EC 56336.5(a)(4) and CAC 3106.5(a)(2).
Goals and short term objectives	CFR 121a.346(b) The individualized education program for each child must include: ...(b) a statement of annual goals, including short-term instructional objectives; EC 56336.5(a) The individualized education program shall be a written statement ... which shall include: ... (2) the annual objectives; CAC 3106.5(a) The individualized education program, ... shall include: ... (2) a statement of annual goals, including short-term instructional objectives. See also CAC 3306(a)(2) and CAC 3306(b).
Appropriate objective criteria	CFR 121a.346 The individualized education program for each child must include: ... (e) appropriate objective criteria and evaluation procedures and schedules for determining, at least on an annual basis, whether the short-term instructional objectives are being achieved. See also EC 56336.5(a)(5), CAC 3106.5(a)(5) and CAC 3306(a)(5).
Linguistically appropriate goals	CAC 3106.5(d) In the case of limited English-speaking and non-English-speaking individuals, the individualized education program should provide for linguistically appropriate goals, objectives, programs and services. See also CAC 3306(d).

PERIODIC OR ANNUAL REVIEW

Topic	Review
Person responsible (PL-94-142 consortium only)	CAC 3306(b) Any local public agency shall describe the personnel responsible and the procedure to be followed in assuring that each pupil's individualized education program is being implemented.
Annual review	CFR 121a.552 Each public agency shall ensure that: (a) each handicapped child's educational placement: (1) is determined at least annually, (2) is based on his or her individualized education program, and (3) is as close as possible to home.
Periodic Review	EC 56336.5(b) In addition to the annual objectives included in the pupil's individualized education program, the special education teachers or specialists of the pupil shall develop and periodically review the activities for each pupil. See also CAC 3106.5(b) and 3306(b).

FEDERAL DATA REQUIREMENTS

Topic	
Provide information necessary for the state agency to perform its duties, i.e. 1. specific performance criteria; and 2. educational achievement information	20 USC 1414 (a) A local educational agency or an intermediate educational unit which desires to receive payments under section 1411(d) for any fiscal year shall submit an application to the appropriate state educational agency. Such application shall - (3)(A) Provide for furnishing such information (which, in the case of reports relating to performance, is in accordance with specific performance criteria related to program objectives), as may be necessary to enable the state educational agency to perform its duties under this part, including information relating to educational achievement of handicapped children participating in programs carried out under this part;
Provide for record keeping	(b) provide for keeping such records; and provide for affording such access to such records, as the state educational agency may find necessary to assure the correctness and verification of such information furnished under subclause (A).
	20 USC 1418 (a) The commissioner shall measure and evaluate the impact of the program authorized under this part and the effectiveness of state efforts to assure the free appropriate public education for all handicapped children. (b)...the commissioner shall (1) through the National Center for Education Statistics provide...such information from state and local educational agencies and other appropriate sources necessary for the implementation of this part, including
Provide the number of handicapped children within each disability. The number of handicapped children within each disability in regular education. The number of handicapped children removed from regular classroom	(A) the number of handicapped children in each state, within each disability, who require special education and related services... (C) the number of handicapped children in each state, within each disability, who are participating in regular educational programs consistent with the requirements of section 1412(5)(B) and section 1414(a)(1)(c)(IV) of this title, and the number of handicapped children who have been placed in separate classes or separate school facilities, or who have been otherwise removed from the regular education environment;
Number of handicapped children receiving an appropriate education and those not receiving one.	(D) the number of handicapped children who are enrolled in public or private institutions in each state and who are receiving a free appropriate public education, and the number of handicapped children who are in such institutions who are not receiving a free and appropriate public education;...
The number of personnel by disability category employed in the education of the handicapped children.	(F) the number of personnel, by disability category, employed in the education of handicapped children, and the estimated number of additional personnel needed to adequately carry out the policy established by this act.

Topic	
	CFR 121a.123 Beginning with school year 1978-79, each annual program plan must contain the following information:
estimated number of handicapped children	(a) The estimated number of handicapped children who need special education and related services.
For each current school year	(b) For the current school year:
(1) number of handicapped children (i) receiving a free appropriate public education, (ii) are not receiving a free appropriate public education, (iii) in public institutions not receiving a free qppropriate public education.	(1) the number of handicapped children aged birth through two, who are receiving special education and related services; and (2) the number of handicapped children: (i) who are receiving a free appropriate public education (ii) who need, but are not receiving, a free appropriate public education (iii) who are enrolled in public and private institutions who are receiving a free appropriate public education, and (iv) who are enrolled in public and private institutions and are not receiving a free and appropriate public education.
(c) Estimated number of handicapped children for next year.	(c) The estimated numbers of handicapped children who are expected to receive special education and related services during the next school year.
(d) Description of data base	(d) A description of the basis used to determine the data required under this section.
To be estimated for each disability cagetory X age ranges.	(e) The data required by paragraphs (a), (b) and (c) of this section must be provided. (1) for each disability category (except for children aged birth through two), and (2) for each of the following age ranges: birth through two, three through five, six through seventeen, and eighteen through twenty-one.
Percent of handicapped children to have full educational opportunity X disability category and age range.	CFR 121a.125(b) Content of timetable. (1) The timetable must indicate what percent of the total estimated number of handicapped children the state expects to have full educational opportunity in each succeeding school year. (2) the data required under this paragraph must be provided (i) for each disability category (except for children aged birth through two), and (ii) for each of the following age ranges: birth through two, three through five, six through seventeen, and eighteen through twenty-one.
	CFR 121a.126(b) Statistical description. Each annual program plan must include the following data:
Additional number of various types of special education teachers needed and number currently employed.	(1) The number of additional special class teachers, resource room teachers, and itinerant or consultant teachers needed for each disability category and the number of each of these who are currently employed in the state.
Number of additional DIS specialists needed and currently employed.	(2) The number of other additional personnel needed, and the number currently employed in the state, including school psychologists, school social workers, occupational therapists, physical

Topic	
	therapists, home-hospital teachers, speech-language pathologists, audiologists, teacher aides, vocational education teachers, work study coordinators, physical education teachers, therapeutic recreation specialists, diagnostic personnel, supervisors, and other instructional and non-instructional staff.
Total number of personnel and salary costs	(3) the total number of personnel reported under paragraph (b) (1) and (2) of this section, and the salary costs of those personnel.
Number and kind of special education facilities needed and in use	(4) The number and kind of facilities needed for handicapped children and the number and kind currently in use in the state, including regular classes serving handicapped children, self-contained classes on a regular school campus, resource rooms, private special education day schools, public special education day schools, private special education residential schools, public special education residential schools, hospital programs, occupational therapy facilities, physical therapy facilities, public sheltered workshops, private sheltered workshops, and other types of facilities.
Total number of transportation units needed and in use for special education	(5) The total number of transportation units needed for handicapped children which are in use in the state, and the number of handicapped children who use these units to benefit from special education.
For the above categories (1) estimates for serving all handicapped children (2) current year data (3) estimates for next year	(c) Data categories. The data required under paragraph (b) of this section must be provided as follows: (1) Estimates for serving all handicapped children who require special education and related services. (2) Current year data, based on the actual numbers of handicapped children receiving special education and related services (as reported under subpart G), and (3) Estimates for the next school year. (d) Rationale. Each annual program plan must include a description of the means used to determine the number and salary costs of personnel.
Annual evaluation to assess effectiveness of programs in meeting educational needs	CFR 121a.146 Annual evaluation. Each annual program plan must include procedures for evaluation at least annually of the effectiveness of programs in meeting the educational needs of handicapped children, including evaluation of individualized education programs.
Enabling regulation	CFR 121a.232 Each application must provide that the local educational agency furnishes information as may be necessary to enable the state educational agency to perform its duties under this act.

STATE DATA REQUIREMENTS

Topic	
Annual report	EC 56350 Each special education service region shall submit to the superintendent at least annually a report in a form and manner prescribed by the superintendent. Such reports shall include that information necessary for the superintendent to carry out his or her responsibilities described in Section 56351 and such other statistical data, program descriptions, and fiscal information as the superintendent may require.
Program evaluation to include: ·Program costs ·Pupils by classification ·Placement of pupils in non-restrictive environments ·Pupils transferred ·Racial and ethnic distribution Program outcome to include: ·Pupil performance ·Placement of pupils in non-restrictive environments ·Degree to which services identified are provided ·Parent, pupil, teacher and administrator satisfaction with services and process provided	EC 56351 In accordance with a program evaluation plan adopted pursuant to subdivision (e) of Section 56310, the superintendent shall submit to the board, the Legislature, and the Governor, an annual evaluation of the special education programs implemented under this chapter. This evaluation shall: (a) be performed consistent with the general provisions of sections 33400, 33401 and 33404; (b) be an individual program evaluation for the purposes of section 33403; (c) include, but not be limited to: (1) Descriptive information, including not not limited to: (A) program costs (B) pupils by classifications (C) placement of pupil in least restrictive environments (D) pupils transferred (E) racial and ethnic distribution (2) Program implementation and outcome data, including but not limited to: (A) pupil performance (B) placement of pupils in least restrictive environments (C) degree to which services identified in individualized education programs are provided (D) parent, pupil, teacher and administrator satisfaction with services and process provided
	EC 56352 The annual reports required under sections 56350 and 56351 shall also identify the numbers of individuals with exceptional needs, their racial and ethnic data, and the special education programs provided in the following classifications: (a) Communicatively handicapped (b) Physically handicapped (c) Learning handicapped (d) Severely handicapped Numbers of pupils with exceptional need by: ·racial and ethnic data ·special ed program: .CH .LH .PH .SH

APPENDIX B: INTERVIEW QUESTIONNAIRES

TEACHER SPECIALIST, OR PROGRAM SPECIALIST

INTERVIEW QUESTIONS FOR PAPERWORK STUDY IN SPECIAL EDUCATION

PREFACE: I am conducting a study regarding Special Education Paperwork by a grant through the State Department of Education, Office of Special Education. The purpose of this study is to analyze and critique a sample of the "primary paperwork" used in special education. Your district is just part of a statewide sample. The approach of this interviewer is to solicit honest and forthright comments. The thrust of the paperwork interviews is to, first, determine what paperwork practices exist; and, secondly, to determine how these practices can be improved.

1. FORM CONSTRUCTION:

A. Are the directions for collecting data clear?

☐ Yes ☐ No ☐ Uncertain

B. Are the forms legible?

☐ Yes ☐ No ☐ Uncertain

C. Is there enough room in which to write?

☐ Yes ☐ No ☐ Uncertain

D. Is there a place for all the necessary information?

☐ Yes ☐ No ☐ Uncertain

E. Was teacher input involved in constructing the forms?

☐ Yes ☐ No ☐ Uncertain

F. What information is requested on one, two or more forms that could be deleted?

☐ Nothing ☐ Some repetition ☐ Uncertain

2. TIME ESTIMATES:

A. In filling out paperwork, often the processes involved in collecting data are confused with the actual filling out of paperwork. For each student, how much time do you spend on each?

Total Process		Filling Out Forms	
Max	Min		
___	___	___	referral paperwork
___	___	___	assessment paperwork
___	___	___	placement/IEP paperwork
___	___	___	team meeting
___	___	___	other ______________

B. What fraction of the time do you spend completing paperwork in the team meetings?

☐ 1/8 ☐ 1/4 ☐ 1/2 ☐ 3/4 ☐ The entire time

C. How many students do you process each year?

_______Referred? _______In program?

USEFULNESS

3. Do you feel that the present documentation in special education is useful in assuring that the most appropriate education is delivered to each child?

☐ Yes ☐ Not in all cases ☐ No

4. What parts of the paperwork are useful for daily instruction? Why?

☐ Referral ☐ Assessment ☐ Placement ☐ IEP ☐ Other

☐ No parts

5. If the student is not placed, what use is made of the assessment findings?

☐ No use ☐ Filed ☐ To classroom teacher ☐ No knowledge of use

6. Does the supporting paperwork scatter and distract or add to and focus the aim of the team meeting?

☐ Add to ☐ Distract from

CHANGES

7. What changes in the laws and regulations do you feel could insure more efficient practice?

☐ Change ☐ No change ☐ Uncertain

8. What would you change in the paperwork to diminish the completion time?

☐ Process change ☐ Forms change ☐ No change ☐ Uncertain

9. What kind of attitude do you have toward the processes documented by the paperwork in special education? How do you feel about actually filling out the forms?

Process ☐ Positive ☐ Negative ☐ Uncertain

Forms ☐ Positive ☐ Negative ☐ Uncertain

MANAGEMENT
INTERVIEW QUESTIONS FOR PAPERWORK STUDY IN SPECIAL EDUCATION

PREFACE: I am conducting a study regarding Special Education Paperwork by a grant through the State Department of Education, Office of Special Education. The purpose of this study is to analyze and critique a sample of the "primary paperwork" used in special education. Your district is just part of a statewide sample. The approach of this interviewer is to solicit honest and forthright comments. The thrust of the paperwork interviews is to, first, determine what paperwork practices exist; and, secondly, to determine how these practices can be improved.

1. FORM CONSTRUCTION:

   A. Are the directions for collecting data clear?

      ☐ Yes ☐ No ☐ Uncertain

   B. Are the forms legible?

      ☐ Yes ☐ No ☐ Uncertain

   C. Is there enough room in which to write?

      ☐ Yes ☐ No ☐ Uncertain

   D. Is there a place for all the necessary information?

      ☐ Yes ☐ No ☐ Uncertain

   E. Was teacher input involved in constructing the forms?

      ☐ Yes ☐ No ☐ Uncertain

   F. What information is requested on one, two or more forms that could be deleted?

      ☐ Nothing ☐ Some repetition ☐ Uncertain

2. TIME ESTIMATES:

   A. In filling out paperwork, often the processes involved in collecting data are confused with the actual filling out of paperwork. For each student, how much time do you spend on each?

Total Process		Filling Out Forms	
Max	Min		
___	___	______	referral paperwork
___	___	______	assessment paperwork
___	___	______	placement/IEP paperwork
___	___	______	team meeting
___	___	______	other ______________

B. How many special education students do you serve?

C. How many students are referred and processed each year?

D. What percentage of the students referred are eligible and placed? (district only)

3. Of your total day, what percentage does the completion of special education paperwork require?

☐ Large amount ☐ Small amount ☐ Uncertain

USEFULNESS

4. Do you feel that the present documentation in special education is useful in assuring that the most appropriate education is delivered to each child?

☐ Yes ☐ Not in all cases ☐ No

5. If the student is not placed, what use is made of the assessment findings?

☐ No use ☐ Filed ☐ To classroom teacher ☐ No knowledge of use

6. Does the supporting paperwork scatter and distract or add to and focus the aim of the team meeting?

☐ Add to ☐ Distract from

7. How do you feel the cost of data collection relates to its usefulness?

☐ Useful ☐ Not useful ☐ Uncertain

8. To what extent do the data that you are required to collect in special education relate to the educational decisions that you make?

Supports Decision:

☐ In every case ☐ In some cases ☐ In no cases ☐ Uncertain

9. What changes in the laws and regulations do you feel could insure more efficient practice?

☐ Change ☐ No change ☐ Uncertain

10. What would you change in the paperwork to diminish the completion time?

☐ Process change ☐ Forms change ☐ No change ☐ Uncertain

DISTRICT PERSONNEL

Federal and State laws and regulations require many reports to be completed by the local districts. For example, the Code of Federal Regulations (CFR 121a.123) requires the puril counts for various categories be reported. The Code of Federal Regulations (CFR 121a.126) also requires an annual evaluation to assess the effectiveness of programs in meeting educational needs.

11. For what Federal and State reports in special education are you responsible?

12. What percentage of your time goes into the completion of the Federal and State reports in special education?

13. To what extent do you feel these reports are used to make local decisions? Could some be eliminated?

APPENDIX C: SUMMARY OF THE TIME ESTIMATES

TIME ESTIMATES FOR THE USUAL PLACEMENT TEAMS IN HOURS

Master Plan

POSITION	PROCESS TIME MAXIMUM-MINIMUM	PAPERWORK TIME
Placement from Regular Class to Designated Instruction Service		
Administrator	2.28 - 0.98	0.02
DIS Service	7.16 - 1.62	0.70
Teacher	2.46 - 0.43	0.00
Parent		
Total	11.90 - 3.03 hrs.	0.72 hrs.
Placement from Regular Class to Resource Class		
Administrator	2.28 - 0.98	0.02
Resource Specialist	8.73 - 5.47	1.10
Parent		
Total	11.01 - 6.45 hrs.	1.12 hrs.
+DIS Service	7.16 - 1.62	0.07
Total	18.17 - 8.07 hrs.	1.19 hrs.
(A) Placement from Resource Class to Special Day Class (LH)		
Program Specialist	5.18 - 1.85	0.54
Special Day Class Teacher	4.00 - 1.85	0.32
Parent		
Total	9.18 - 3.70 hrs.	0.86 hrs
Psychologist*	2.21 - 1.07	0.22
Speech and Language	7.16 - 1.62	0.70
Administrator	2.28 - 0.98	0.02
Total	20.83 - 7.37 hrs.	1.80 hrs.
(B) Placement from Resource Class to Special Day Class (LH)		
Program Specialist	5.18 - 1.85	0.54
Resource Specialist	8.73 - 5.47	1.10
Parent		
Total	13.91 - 7.32 hrs.	1.64 hrs.
Psychologist*	2.21 - 1.07	0.22
Speech and Language	7.16 - 1.62	0.70
Administrator	2.28 - 0.98	0.02
Total	25.56 - 10.99 hrs	2.58 hrs

POSITION	PROCESS TIME MAXIMUM—MINIMUM	PAPERWORK TIME
Placement from Special Day Class (LH) to Special Day Class (SH)		
Program Specialist	5.18 - 1.85	0.54
Psychologist*	2.21 - 1.07	0.22
Parent		
Special Day Class Teacher(LH)	4.00 - 1.85	0.32
Special Day Class Teacher(SH)	4.00 - 1.85	0.32
Total	15.39 - 6.62 hrs.	1.40 hrs.
Administrator (sending)	2.28 - 0.98	0.02
Administrator (receiving)	2.28 - 0.98	0.02
Speech and Language	7.16 - 1.62	0.70
DIS Service (other)	7.16 - 1.62	0.72
Total	34.27 - 11.82 hrs.	2.84 hrs.

Non-Master Plan

POSITION	PROCESS TIME MAXIMUM—MINIMUM	PAPERWORK TIME
Placement from Regular Class to Designated Instruction Service		
Teacher*	1.23 - 0.76	0.13
Administrator	1.79 - 1.15	0.19
DIS Service	5.72 - 1.94	0.90
Parent		
Total	8.74 - 3.85 hrs.	1.22 hrs.
Placement from Regular Class to Special Day Class		
Teacher*	1.23 - 0.76	0.13
Administrator	1.79 - 1.15	0.19
Special Day Class Teacher	4.58 - 2.25	0.44
Psychologist	5.48 - 2.25	1.50
DIS Service	5.72 - 1.94	0.90
Parent		
Total	18.80 - 8.78 hrs.	3.16 hrs.
Placement from Special Day Class to Special Day Class		
Special Day Class Teacher (sending)	4.58 - 2.68	0.44
Administrator (sending)	1.79 - 1.15	0.19
Psychologist	5.48 - 2.25	1.50
DIS Service	5.72 - 1.94	0.90
Special Day Class Teacher (receiving)	4.58 - 2.68	0.44
Administrator (receiving)	1.79 - 1.15	0.19
Parent		
Total	23.94 - 11.85 hrs.	3.66 hrs.

*Estimated from LEAs

TIME ESTIMATES FOR ANNUAL REVIEW TEAMS

Master Plan

POSITION	PROCESS TIME	PAPERWORK TIME
DIS Service		
DIS Specialist	2.81 - 1.07	0.47
Administrator	0.88 - 0.67	0
Parent		
Total	3.69 - 1.74 hrs.	0.47 hr.
Resource Specialist Program		
Resource Teacher	2.93 - 1.91	0.53
Administrator	0.88 - 0.67	0
Parent		
Total	3.81 - 2.58 hrs.	0.53 hr.
Special Day Class		
Program Specialist	1.52 - 0.94	0.30
Special Day Class Teacher	3.29 - 1.80	0.46
Parent		
Total	4.81 - 2.74 hrs.	0.76 hr.
Administrator	0.88 - 0.67	0
Total	5.69 - 3.41 hrs.	0.76 hr.

Non-Master Plan

POSITION	PROCESS TIME	PAPERWORK TIME
DIS Service		
DIS Specialist	0.67 - 0.22	0.32
Administrator	0.46 - 0.38	0.04
Parent		
Total	1.13 - 0.60 hrs.	0.36 hr.
Special Day Class		
Administrator	0.46 - .38	0.04
Special Day Class Teacher	3.28 - 2.43	0.59
Parent		
Total	3.74 - 2.81 hrs.	0.63 hr.

AVERAGE TIME SPENT ON PROCESS AND PAPERWORK PER STUDENT

Master Plan - Principal

PROCESS TIME MAXIMUM-MINIMUM	PAPERWORK TIME	TYPE OF PAPERWORK
20.0 - 11.9	1.11	Referral
20.0 - 1.7	0	Assessment Plan/Consent
10.0 - 4.5	0	Assessment
6.7 - 1.6	0	Notice of Mtg/Prep for Mtg
80.0 - 38.9	0	Placement Meeting
136.7 - 58.6 min.	1.11 min.	Total time to place
(2.28 - 0.98 hrs)	(.02 hr)	
5.0 - 3.3 min.	0	Assessment for Annual Review
47.2 - 36.7 min.	0	Annual Review Meeting
52.2 - 40.0 min.	0 min.	Total for In-Program
(0.88 - 0.67 hrs)	(0 hr)	

Average number of students placed each year = 48.0
Average number of students in program each year = 83.8

Master Plan - Special Day Class Teacher

32.8 - 7.7	.4	Referral
0	6.7	Assessment Plan/Consent
111.9 - 60.0	0	Assessment
32.7 - 18.1	10.0	Notice of Mtg/Prep for Mtg
62.7 - 25	2.3	Placement Meeting
240.1 - 110.8 min.	19.4 min.	Total time to place
(4.0 - 1.85 hrs)	(0.32 hrs)	
110 - 66.3 min.	18 min.	Assessment for Annual Review
87.3 - 41.4 min.	9.5 min.	Annual Review Meeting
197.3 - 107.7 min.	27.5 min.	Total for In-Program
(3.29 - 1.80 hrs)	(0.46 hrs)	

Average number of students placed each year = 7.7
Average number of students in program each year = 11.7

Master Plan - Program Specialist

32.3 - 8.1	2.3	Referral
31.3 - 13.5	6.2	Assessment Plan/Consent
62.3 - 24.6	0	Assessment
67.0 - 16.5	1.2	Notice of Mtg/Prep for Mtg
117.7 - 48.1	22.7	Placement Meeting
310.6 - 110.9	32.4 min.	Total time to place
(5.19 - 1.85 hrs)	(0.54 hrs)	
43.8 - 31.1 min.	4.6 min.	Assessment for Annual Review
47.3 - 25.4 min.	13.1 min.	Annual Review Meeting
91.1 - 56.5 min.	17.7 min.	Total for In-Program
(1.52 - 0.94 hrs)	(0.30 hrs)	

Average number of students placed each year - 69.2
Average number of students in program each year = 265.3

Master Plan - Resource Specialist

PROCESS TIME MAXIMUM-MINIMUM	PAPERWORK TIME	TYPE OF PAPERWORK
74.1 - 39.0	7.5	Referral
20.4 - 11.8	14.5	Assessment Plan/Consent
294.5 - 196.4	13.1	Assessment
53.2 - 40.9	15	Notice of Mtg/Prep for Mtg
81.8 - 40.0	15.9	Placement Meeting
524.0 - 328.1 min.	66.0 min.	Total time to place
(8.73 - 5.47 hrs.)	(1.10 hrs)	
96.8 - 67.7 min.	15.5 min.	Assessment for Annual Review
79.1 - 46.8 min.	16.8 min.	Annual Review Meeting
175.9 - 114.5 min.	32.3 min.	Total for In-Program
(2.93 - 1.91 hrs)	(0.53 hrs)	

Average number of students placed each year = 22.4
Average number of students in program each year = 27.1

Master Plan - Designated Instruction Service

37.2 - 14.7	4.8	Referral
50.0 - 3.9	2.2	Assessment Plan/Consent
150.0 - 38.3	5.6	Assessment
44.4 - 14.4	14.4	Notice of Mtg/Prep for Mtg
147.8 - 25.6	15.0	Placement Meeting
429.4 - 96.9 min.	42.0 min.	Total time to place
(7.16 - 1.62 hrs.)	(0.70 hrs.)	
95.6 - 37.2 min	12.2 min.	Assessment for Annual Review
72.8 - 27.2 min.	16.1 min.	Annual Review Meeting
168.4 - 64.4 min.	28.3 min.	Total for In-Program
(2.81 - 1.07 hrs)	(0.47 hrs)	

Average number of students placed each year = 31.1
Average number of students in program each year = 61.6

ESTIMATED TIME EXPENDED ON PROCESS AND PAPERWORK FOR A YEAR

Master Plan

PROCESS TIME MAXIMUM—MINIMUM	PAPERWORK TIME	ACTIVITY
Principal		
109.36 - 46.88	.96	Placement
72.91 - 55.87	0	Annual Review
182.3 - 102.7 hrs.	0.96 hrs.	Total
Special Day Class Teacher		
47.48 - 14.22	2.49	Placement
38.47 - 21.00	5.36	Annual Review
85.95 - 35.22 hrs.	7.85 hrs.	Total
Program Specialist		
358.23 - 127.91	37.37	Placement
402.81 - 249.83	79.59	Annual Review
761.04 - 377.74 hrs.	116.96 hrs.	Total
Resource Specialist		
195.63 - 122.49	24.64	Placement
79.45 - 51.72	14.36	Annual Review
275.08 - 174.21 hrs.	39.00 hrs.	Total
Designated Instruction Service		
222.57 - 50.20	21.77	Placement
87.29 - 66.11	29.06	Annual Review
309.86 - 116.31 hrs.	50.83 hrs.	Total

ESTIMATED TIME EXPENDED ON PROCESS AND PAPERWORK FOR A YEAR

Non-Master Plan

PROCESS TIME MAXIMUM-MINIMUM	PAPERWORK TIME	ACTIVITY
Principal		
35.98 - 23.12	22.76	Placement of Student
55.11 - 45.52	0.80	Annual Review
91.09 - 68.64 hrs.	23.56 hrs.	Total
Special Day Class Teacher		
17.91 - 10.48	1.72	Placement of Student
39.95 - 29.60	7.19	In-Program Students
57.86 - 40.08 hrs.	8.91 hrs.	Total
Psychologist/Program Specialist		
1380.96 - 567.00	378.00	Placement
161.19 - 89.55	4.98	Annual Review
1542.15 - 656.55 hrs.	382.98 hrs.	Total
Designated Instruction Services		
37.02 - 45.12	20.93	Placement of Student
39.78 - 12.16	17.68	Annual Review
76.80 - 57.27 hrs.	38.61 hrs.	Total

APPENDIX D: SPECIAL EDUCATION AGENCIES SOLICITED AND AGENCIES INCLUDED IN THE PAPERWORK AND INTERVIEW SAMPLES

	Solicited Agencies	Provided Paperwork	Interview Sample
SESRS			
1.	Contra Costa Co.	X	
2.	Humboldt-Del Norte Co.	X	
3.	Los Angeles U. (Area 1&4)	X	
4.	Sacramento USD	X	X
5.	Santa Barbara Co.	X	X
6.	Santa Monica USD		
7.	Stanislaus Co.	X	
8.	Tulare Co.	X	
9.	Whittier Area Coop.	X	X
10.	Fresno USD	X	
11.	Glenn Co.	X	
12.	Merced Co.	X	X
13.	Riverside Co.	X	
14.	San Diego USD	X	X
15.	Santa Clara Co. (1,2&7)	X	
16.	Santa Cruz/San Benito Co.	X	
17.	Orange USD	X	
18.	West Orange Co.	X	
19.	San Juan USD	X	Pilot
Public Law 94-142 Consortiums			
1.	Mt. Diablo U		
2.	Fresno Co.	X	X
3.	Butte Co.	X	
4.	Mendocino Co.	X	
5.	Long Beach USD	X	
6.	Pomona USD	X	
7.	Pasadena USD	X	X
8.	San Joaquin Co.	X	
9.	West San Bernardino Co.	X	
10.	Oakland Unified	X	
11.	Sacramento Co.		
12.	San Diego Co.		
13.	San Luis Obispo USD	X	X
14.	Alameda Co.		
15.	Monterey Co.	X	
16.	Stockton USD	X	
17.	Kern Co.		
18.	Garden Grove U	X	
19.	San Mateo Co.	X	
20.	North Orange Co.	X	

Solicited Agencies	Provided Paperwork	Interview Sample
21. Placer/Nevada Co.		
22. San Francisco USD	X	X
23. Ventura Co.	X	
24. Imperial Valley	X	X
25. Lassen Co.	X	

APPENDIX E: SUMMARY TABLES FOR THE TYPICAL PAPERWORK IN SPECIAL EDUCATION

The following tables are a summary of the typical paperwork in special education for the following:

TABLE 1 . . . . . Referral Paperwork
TABLE 2 . . . . . Assessment Paperwork
TABLE 3 . . . . . Forms for the Assessment Results with the Number of Data Items
TABLE 4 . . . . . Individual Education Plan

The notice of a team meeting was not summarized. The forms concerning the fair hearing process were collected and included in a catalogue of forms, but not summarized.

The judgment as to whether the data item is required by mandate should be viewed as tentative. A data item in question should be checked against the actual mandate before the decision is made to collect that item.

TABLE 1

REFERRAL PAPERWORK

BY: STANLEY W. BARRICK
SAN JUAN UNIFIED
SCHOOL DISTRICT

KEY
x = DATA COLLECTED
S = LAW, CODE OR REGULATION APPLIED TO CONSORTIUM ONLY
F = COMPUTER FILE
2 = TWO DATA ITEMS

		STUDENT DATA																				PARENT DATA										REFERRAL DATA									PRE-ASSESSMENT DATA																							
		PERSONAL DATA										SCHOOL DATA										PERSONAL DATA							DOMINANT LANGUAGE																																	
		NAME	ID. NUMBER	BIRTH DATE	SEX	ETHNICITY	GRADE	AGE	ADDRESS	PHONE	DOCTOR	TEACHER/COUNSELOR	RM. NO. OF TEACHER	HOME SCHOOL	SCHOOL ADDRESS	SCHOOL OF ATTENDANCE	HOME DISTRICT	LOCATION OF RECORDS	HOME SCHOOL CODE	SCHOOL ATTENDANCE CODE	HOME DISTRICT CODE	NAME	ADDRESS	PHONE	FOSTER/GUARDIAN?	OCCUPATION	SURROGATE NEEDED?	RECORD OF CONTACT	LANGUAGE NEED?	INTERPRETER NAME	INTERPRETER PHONE	REASONS FOR	NAME OF REQUESTER	POSITION OF REQUESTER	SIGNATURE OF REQUESTER	TELEPHONE OF REQUESTER	DATE OF REFERRAL	DATE OF REFERRAL CONFERENCE	PARENT NOTIFICATION	WAY REQUESTER LEARNED OF PROCESS	PREVIOUS REFERRAL	SPECIAL ED. PREVIOUSLY?	DATE OF PREVIOUS PLACEMENT	PROGRAM OF PREVIOUS PLACEMENT	PLACE OF PREVIOUS PLACEMENT	OTHER AGENCIES WHICH SERVE STUDENT	SCREEN OF REFERRAL	LAST GRADE RETAINED	DESCRIPTION OF ATTEMPTED INTERVENTIONS	YEARS ENROLLED AT PRESENT SCHOOL	CURRENT PERFORMANCE LEVELS	CURRENT TEST INFORMATION	ATTENDANCE RECORD	BEHAVIOR STATUS	AREAS OF STRENGTH	FAMILY INFORMATION	SOCIAL STATUS (PEER)	HEALTH STATUS	HEARING STATUS	VISION STATUS	MEDICAL STATUS	IMMUNIZATION RECORD	DISPOSITION OF REFERRAL	TOTAL
DATA REQUIRED BY:	FEDERAL CODE																																																																0
	FEDERAL REGULATION					x																							x																																				2
	STATE CODE																												S			S							x																										3
	ADMINIST. CODE					x																							x			S						S																											4
	OFFICE OF SPECIAL ED. FORMS COMMITTEE	x		x	x		x		x	x		x	x	x		x	x	x				x	x	x					x			x	x	x	x		x		x	x					x	x			x		x	x	x	x	x		x		x	x			x	35
SPECIAL EDUCATION SERVICE REGION	SESR 1	x		x	x		x	x	x	x		x	x	x			x					x	x	x					x			x	x	x	x		x					x	x	x	x			x	x		x							x	x	x	x			31
	SESR 2	x		x	x				x			x		x		x						x		x				x	x			x		x	x	x	x					x							x		x		x	x				x	x	x	x			25
	SESR 3	x	x	x	F	F	x	F	x	F		x	F	x		x	F		F	F	F	x	F	x	F				x			x			x		x		x		F	F	F	F	F																			15*
	SESR 4	x		x	x		x	x				x		x			x					x	x	x					x			x	x	x	x		x							x		x			x		x	x		x				x	x	x				26
	SESR 5	x		x	x		x					x		x								x	x	x					x	x	x	x	x	x			x								x			x	x	x	x	x	x											23
	SESR 6	x		x			x	x	x	x		x	x	x	x	x	x	x				x	x	x	x			x	x			x	x	x	x	x	x		x	x		x	x	x	x	x	x		x		x	x	x	x	x	x		x	x	x	y			44
	SESR 7	x		x			x					x		x								x	x	x					x			x	x				x												x															13
	SESR 8	x	x	x		x	x					x	x	x								x	x	x					x			x	x	x			x		x					x					x		x							x					x	22
	SESR 9	x		x	x		x					x	x			x						x	x	x					x			x	x	x			x	x	x	x				x			x	x	x														x	23
	SESR 10	x	x	x	x	x	x		x	x		x		x		x						x	x	x	x				x			x	x	x			x		x		x	x		x		x																		25
	SESR 11	x	2	x	x		x					x					x					x	x	x	x	x	x	x	x			x	x				x							x		x			x			x	x	x	x		x	x	x	x		x		31
	SESR 12	x	x	x	x		x	x	x					x		x	x	x	x	x	x	x	x	x	x				x			x					x	x					x	x	x				x		x	x	x	x	x	x	x							33
	SESR 13	x	x	x	x	x	x		x	x				x		x	x		x	x	x	x	x	x	x				x			x	x	x	x		x		x		x	x	x	x	x			x	x															32
	SESR 14	x		x	x	x						x		x								x	x	x					x			x	x	x			x		x							x			x		x	x			x		x	x	x	x			x	25
	SESR 15	x		x	x			x	x	x												x										x	x	x			x																											11
	SESR 16	x		x	x		x		x	x		x		x			x					x	x	x					x			x	x	x			x		x	x					x	x			x															22
	SESR 17	x		x	x		x	x	x	x		x		x															x			x	x	x			x					x		x				x	x		x			x	x		x	x	x	x	x		x	27
TOTAL FOR SESRs		17	7	17	12	3	13	5	8	5	0	14	3	13	0	6	7	1	2	2	2	16	13	15	4	1	1	2	15	1	1	17	14	13	5	1	16	1	6	1	1	4	3	10	6	5	0	5	14	1	9	6	5	6	4	1	4	8	7	7	3	1	4	
PL 94-142 CONSORTIUMS	CONSORTIUM 1	x		x	x		x	x	x		x	x		x	x		x					x	x		x				x			x	x				x							x		x					x													21
	CONSORTIUM 2	x		x			x							x																		x	x				x															x		x										9
	CONSORTIUM 3	x		x	x	x	x	x				x		x								x	x	x					x			x					x		x										x		x	x	x	x					x	x	x			23
	CONSORTIUM 4	x		x	x	x	x	x	x	x				x								x							x			x	x				x		x										x		x													17
	CONSORTIUM 5	x		x			x		x			x		x								x							x			x							x					x					x					x			x	x	x	x				17
	CONSORTIUM 6	x		x	x		x		x	x	x	x		x			x					x										x					x									x				x	x	x	x	x		x	x	x	x	x				24
	CONSORTIUM 7	x		x	x	x	x		x	x		x	x	x								x				x			x			x							x							x			x			x							x	x				20
	CONSORTIUM 8	x	x	x		x	x			x		x	x	x								x	x	x					x			x	x				x		x										x					x		x	x							21
	CONSORTIUM 9	x		x	x				x	x												x	x	x					x			x	x			x	x					x		x		x			x		x	x						x	x	x	x	x	x	25
	CONSORTIUM 10	x		x				x	x		x						x					x										x													x				x							x					x			12
	CONSORTIUM 11	x	x	x	x		x					x		x								x	x	x					x			x					x																											13
	CONSORTIUM 12	x		x	x				x	x	x											x	x						x	x		x	x				x							x	x				x		x					x								18
	CONSORTIUM 13	x		x	x		x	x	x	x			x	x								x				x						x					x		x						x		x	x			x	x	x				x							21
	CONSORTIUM 14	x		x			x					x				x						x	x						x			x		x					x										x	x	x	x	x	x				x	x		x			20
	CONSORTIUM 15	x		x	x		x		x	x												x				x			x			x	x				x		x					x	x				x	x		x	x	x	x	x		x	x	x	x			26
	CONSORTIUM 16	x	x	x		x	x							x								x	x	x					x			x	x	x	x		x																											15
	CONSORTIUM 17	x		x	x		x		x	x		x		x								x							x			x	x	x	x		x												x															16
	CONSORTIUM 18	x		x			x	x				x	x	x								x	x	x					x			x	x				x							x					x		x			x				x	x				x	21
	CONSORTIUM 19	x		x	x		x	x				x		x								x		x		x			x			x	x				x					x		x							x	x	x	x		x	x	x	x	x				25
TOTAL FOR CONSORTIUMS		19	3	19	12	5	16	7	11	9	4	11	4	14	1	1	3	0	0	0	0	18	9	7	1	5	0	0	15	1	0	19	11	3	1	1	15	0	8	0	0	2	0	7	4	4	1	1	12	3	9	8	6	9	1	6	5	6	8	6	4	0	1	

*including computer file - 32 items

TABLE 2 ASSESSMENT PAPERWORK	CONSENT TO ASSESS LETTER																						ASSESSMENT PLAN																												
BY: STANLEY W. BARRICK SAN JUAN UNIFIED SCHOOL DISTRICT	STUDENT DATA										SENDER DATA					PARENT DATA							RATIONALE						ASSESSMENT AREAS																							
	PERSONAL DATA						SCHOOL DATA																																													
KEY X = DATA COLLECTED S = LAW, CODE OR REGULATION APPLIES TO SPECIAL EDUCATION SERVICE REGION ONLY C = LAW, CODE, OR REGULATION APPLIES TO CONSORTIUM ONLY R = REFERRAL PAPERWORK I = IMPLIED	NAME	I.D. NUMBER	BIRTH DATE	ADDRESS	GRADE	DOMINANT LANGUAGE	TEACHER	PRESENT PROGRAM	SCHOOL	DISTRICT	NAME	POSITION	ADDRESS	PHONE	LETTER DATE	NAME	PHONE	CONSENT TO ASSESS	DATE OF CONSENT	SIGNATURE	PARENT RIGHTS	INTERPRETER NEEDED	REFERRAL REASONS	DESCRIPTION OF NEED TO ASSESS	PURPOSE OF ASSESSMENT	TYPE OF ASSESSMENT	POSSIBLE PLACEMENT	PROFESSIONALS INVOLVED	ASSESSMENT AREAS	TESTS USED	CULTURALLY APPROPRIATE	ADDITIONAL AGENCY REPORT	ATTEMPTED INTERVENTIONS	OBSERVATIONS OF BEHAVIOR	OBSERVATIONS OF FUNCTIONING IN HOME ENVIRONMENT	ACADEMIC PROGRESS	INTELLECTUAL DEVELOPMENT	COGNITIVE LEVELS	PSYCHO MOTOR/PERCEPTUAL MOTOR	COMMUNICATION DEVELOPMENT	SOCIAL/ADAPTIVE BEHAVIOR	AFFECTIVE LEVELS	PERSONALITY ASSESSMENT	CAREER ASSESSMENT	HEALTH STATUS	SELF-HELP SKILLS	DEVELOPMENTAL HISTORY	VISION	HEARING	LEARNING STYLE	FUNCTIONAL ACADEMICS	TOTAL
DATA REQUIRED BY																																																				
FEDERAL CODE																															X																					1
FEDERAL REGULATION						X															X		X	X	X	X					X					X	X		X	X	X	X			X			X	X			16
STATE CODE						S												S	S		X															S		S	S	S		S			S							10
ADMINIST. CODE																		X	X				S	S	S	S	S				X					C		C	C	C		C			C							14
OFFICE OF SPECIAL ED. FORMS COMMITTEE	X		X			X			X		X			X	X	X		I	X	X								X	X	X						X	X		X	X	X			X	X			X	X			23
SPECIAL EDUCATION SERVICE REGION																																																				
SESR 1	X		X			X			X	X	X			X	X	X		X	X	X		X	X		X	I			X	X		X				X																20
SESR 2	X		X								X		X		X	X	X	X	X	X	X					I		X	X							X		X	X	X	X								X			20
SESR 3		X	X	X	X	X	X	X	X	I'						X	X	I	X	X	X	X	X		X	I		X	X	I						X																20
SESR 4	X					X			X	X	X			X	X			X	X	X						I			X		X		X	X	X	X		X	X	X	X	X		X	X		X	X	X			27
SESR 5	X				X				X	X	X				X			X	X	X						I		X	X							X	X		X	X	X			X								18
SESR 6	X		X			X			X	X	X			X	X	X		X	X	X	X		X	X	X	I	X	X	X	X	X			X		X	X	X	X	X	X	X	X	X	X	X	X	X	X		X	38
SESR 7	X								X		X			X	X	X		X	X	X			X			I		X	X					X		X	X		X	X	X				X		X		X			22
SESR 8	X		X		X	X			X		X			X	X	X		X	X	X	X		X			I			I							X	X			X	X			X	X				X			23
SESR 9	X					X			X	X	X	X		X	X	X		X	X	X	X			X	X	I	X	X	X	X	X		X																X			22
SESR 10	X		X		X	X			X		X			X	X			X	X	X	X				X	I		X	X	X		X				X	X		X	X	X			X	X		X	X	X			28
SESR 11	X		X		X					X	X			X	X	X		X	X	X						I		X	X							X	X		X	X	X			X					X			2'
SESR 12	X		X	X	X	X	X		X						X	X		X	X	X	X					I			X	X																						16
SESR 13																		R	R	R	R		R	R		I			R																							8
SESR 14	X										X							I	X	X			X			I		X	X	X				X		X	X		X	X	X			X	X	X				X	X	21
SESR 15	X		X								X			X		X																																				5
SESR 16	X		X						X	X	X	X			X	X	X	X	X	X						I	X	X	X	X																						17
SESR 17	X								X	X	X	X		X	X				X	X	X					I		X	X	X	X		X	X	X	X	X		X	X	X	X		X	X		X	X	X			29
TOTAL FOR SESRs	15	1	9	2	5	8	1	0	10	7	14	3	1	10	13	10	2	15	15	16	7	1	6	1	2	16	1	10	16	5	3	1	2	4	2	12	8	2	9	11	10	2	0	6	6	1	3	2	8	1	1	
PL 94-142 CONSORTIUMS																																																				
CONSORTIUM 1	X		X		X	X			X			X			X			X	X	X	X	X				I		X	X	X						X			X	X	X				X	X		X	X			24
CONSORTIUM 2	X					X					X		X	X		X		X	X	X			X			I		X	X	X						X	X		X	X	X			X	X		X					22
CONSORTIUM 3			X	X		X			X					X	X	X		X	X	X	X	X																														12
CONSORTIUM 4	X		X			X									X			X	X	X	X					I		X	X	X						X	X		X	X	X		X	X	X				X			21
CONSORTIUM 5	X		X	X					X		X			X				X	X	X	X		X		X	I		X	X	X				X		X	X		X	X	X	X		X	X							25
CONSORTIUM 6	X								X	X	X			X	X			X	X	X	X				X	I		X	X	X	X		X	X		X	X	X	X	X	X	X		X	X		X				X	29
CONSORTIUM 7	X		X	X					X		X			X			X	X	X	X	X				X	I		X	X					X		X	X		X	X	X											21
CONSORTIUM 8	X	X	X	X					X		X				X		X	X	X	X			X			I			X					X		X		X	X	X	X			X	X	X						23
CONSORTIUM 9	X		X	X		X			X	X	X			X	X	X		X	X	X	X		X			I		X	X	X				X		X	X		X	X	X			X	X			X	X			29
CONSORTIUM 10	X		X			X		X										X	X	X	X				X	I		X	X	X						X	X		X	X	X				X			X	X			2'
CONSORTIUM 11	X								X		X			X	X	X	X	X	X	X	X					I		X	X																							14
CONSORTIUM 12	X		X												X			X	X	X					X	I	X		X	X				X		X	X		X	X	X			X	X				X			20
CONSORTIUM 13	X		X			X					X							X	X	X	X				X			X		X						X	X		X									X	X			16
CONSORTIUM 14	X		X			X			X							X		X	X	X						I			X	X				X		X	X		X	X	X				X							18
CONSORTIUM 15																		X	X	X																																3
CONSORTIUM 16	X	X	X	X		X									X	X	X	X	X	X	X		X	X	X	X																										16
CONSORTIUM 17	X								X						X			I	X	X	X					R			I					X		X		X	X	X	X			X	X	X						18
CONSORTIUM 18	X										X				X			I	X	X	X	X				X		X	X	X				X		X	X		X	X	X			X	X							20
CONSORTIUM 19		X												X	X	X	X	X	X	X	X		X			X			X	X		R	R			R	R		R	R	R											20
TOTAL FOR CONSORTIUMS	15	3	12	5	1	9	0	1	10	2	9	1	1	8	12	7	5	19	19	19	13	3	6	1	6	16	1	11	15	12	1	1	2	9	0	15	12	3	15	14	14	2	1	9	11	3	2	4	6	0	0	

by Stanley W. Barrick,
San Juan Unified School District

TABLE 3
FORMS FOR THE ASSESSMENT RESULTS WITH THE NUMBER OF DATA ITEMS

	Special Education Service Region																
FORMS	SESR 1	SESR 2	SESR 3	SESR 4	SESR 5	SESR 6	SESR 7	SESR 8	SESR 9	SESR 10	SESR 11	SESR 12	SESR 13	SESR 14	SESR 15	SESR 16	SESR 17
·Student Observation	16		16a							51	64	14	22	34		24	
·Case Study Summary	16		21							27							
·Psycho-Educational Eval.	25		20							61		62					
·Health Summary									63								
·Doctor	29		10														25*
·Nurse			90						72	38		25				25	
·Parent	104										25					29	141*
·Parent Observation	20																
Total Data Items	210	b	157	b	b	b	b	b	135	177	89	101	22	34	b	78	166

	PL 94 · 142 Consortium																	
FORMS	CONSORTIUM 1	CONSORTIUM 2	CONSORTIUM 3	CONSORTIUM 4	CONSORTIUM 5	CONSORTIUM 6	CONSORTIUM 7	CONSORTIUM 8	CONSORTIUM 9	CONSORTIUM 10	CONSORTIUM 11	CONSORTIUM 12	CONSORTIUM 13	CONSORTIUM 14	CONSORTIUM 15	CONSORTIUM 16	CONSORTIUM 17	CONSORTIUM 18
·Student Observation				35	29			28		18			38	76		26	16	22
·Case Study Summary																		
·Psycho-Educational Eval.			16				11	91					77	65	8	22		63
·Health Summary																		
·Doctor									20	73				37				26
·Nurse			16					30								51		
·Parent	27		263				34	93		93			77	83				143
·Parent Observation								250										9
Total Data Items	27	b	295	35	29	b	45	492	20	184	b	b	192	261	8	99	16	263

a = Speech and Language
b = Either no forms were used for the report or the district did not provide these forms

*combined on one form

TABLE 4
INDIVIDUAL
EDUCATION
PLAN

BY: STANLEY W. BARRICK
SAN JUAN UNIFIED
SCHOOL DISTRICT

KEY
X = DATA COLLECTED
S = MANDATE APPLIED TO SESR ONLY
C = MANDATE APPLIED TO CONSORTIUM ONLY
2 = TWO DATA ITEMS

		STUDENT DATA															
		PERSONAL DATA									SCHOOL DATA						
DATA REQUIRED BY:	NO. OF PAGES	NAME	ID. NUMBER	BIRTHDATE	SEX	ETHNICITY	GRADE	AGE	ADDRESS	PHONE	TEACHER/COUNSELOR	SCHOOL	DISTRICT	DISTRICT OF RESIDENCE	SCHOOL OF RESIDENCE	PRESENTLY IN PROGRAM	RECORDS ON FILE
FEDERAL CODE																	
FEDERAL REGULATION				x		x		x									
STATE CODE																	
ADMINISTRATIVE CODE						x											
OSE FORMS COMMITTEE	4	3		x	x		x	x	x			3	3	x			
SESR 1	6	3		x	x	x	x					3	x	x			
SESR 2	4	3		2	x	x	2					3			x		
SESR 3	3	3	x	2	x	F	2	F	F	F	F	3	F	F	F	F	F
SESR 4	2	2	x	2	x	x						2		x			
SESR 5	2	3		x	x	x	x	x	x	x				x			
SESR 6	2	3		3	x	x	2	3	x	x	2	x	3	3	3	2	
SESR 7	6	7		2		x	4	3			3	4		3			
SESR 8	4	4	3	2	2	3	2	x			2	3			2		
SESR 9	3	3	x		x	x	x					x	x	x	2	x	
SESR 10	3	3	3	2	x	x	2	x	x	x	x	x	x	x	x	x	
SESR 11	3	3		2	x	x	2				x	3	x	x			
SESR 12	3	3	3	2			2					2				x	
SESR 13	3	3	x	2			x		x	x		x			x		
SESR 14	3	2		x			2	x			2	2					
SESR 15	3	3		2	x	x	x		x	x	x	x		x			
SESR 16	4	3	2	2			2					3		x		2	
SESR 17		2		x	x	x						2	x	x			
SESR 18	6	3		3				x				x				x	
CONSORTIUM 1	4	3						3				3					
CONSORTIUM 2	5	5		2			x					3					
CONSORTIUM 3	4	3		x	x	x	2	2				2					
CONSORTIUM 4	5	3		2		x	2					x		x			
CONSORTIUM 5	2	2		x			x				2	2					
CONSORTIUM 6	3	x		x			x	x				x					
CONSORTIUM 7	1	x		x								x					
CONSORTIUM 8	3	3	3	x			x				2	2					
CONSORTIUM 9	5	5		x	x				x					x			
CONSORTIUM 10	4	4		2				x	x					2		x	
CONSORTIUM 11	4	4	2	4	2	2	2	2			2	3					x
CONSORTIUM 12	3	3		3	x	x	x				2	2	x	x			
CONSORTIUM 13	3	3		x	x		x	2				2					
CONSORTIUM 14	5	3		3	2		x	2			2	3		x			
CONSORTIUM 15	5	3		2			2	2			x	2					x
CONSORTIUM 16	2	2		2		x	2				x	2			x		
CONSORTIUM 17	3	3		x								3					
CONSORTIUM 18	2	2		2	x		x	x				x	x				
CONSORTIUM 19	4	2		x	x			x				x			x		

F = Computer File

	PARENT DATA															TEAM DATA											
	PERSONAL DATA				CULTURAL DATA			DUE PROCESS																			
DATA REQUIRED BY:	NAME	ADDRESS	PHONE	FOSTER HOME/ADOPTED	DOMINATE LANGUAGE	BILINGUAL STATUS	INTERPRETER	RIGHTS	AGREES TO ASSESSMENT	AGREES TO PLACEMENT	AGREES TO IEP	PARENT SIGNATURE	SIGNATURE DATE	REFUSES SERVICES	REQUEST FAIR HEARING	TYPE OF TEAM	MEETING REASON	DATE OF MEETING	LOCATION OF MEETING	PARENT ATTENDED?	ADDITIONAL ATTENDEES	CHAIRMAN SIGNATURE	COMMITTEE SIGNATURE	COMMITTEE VOTE	VOTE DATE	ANNUAL REVIEW DATE	3 YR. ASSESSMENT DATE
FEDERAL CODE						x																					
FEDERAL REGULATION						x		x	x	x	x	x	x					x		x			x				x
STATE CODE								S	x	S	S	S	S			S		x					S				
ADMINISTRATIVE CODE						x				C			x					x					C				
OSE FORMS COMMITTEE	x		x		x	x		x		x	x	x	x	x	x	x		x		x			x			x	
SESR 1	x	x	x					x	x	x	x	x	x	x	x	x	x	2			x		x	x			
SESR 2	x	x	x		2	2		x	x	x		x	x		x	x	2	x	x	x	x		x			x	
SESR 3	x	x	x	F	2	2		x	x	x		x	x			x	2	x	x	x	x	x				x	x
SESR 4	x									x			x			x		x				x					
SESR 5	x			x	x			x	x		x		x			x		x				x	x	x			
SESR 6	2			x	x	x		x	x	x		x	x	x		x	x	2		2	x	2	2	x	2		
SESR 7	2	2	2			2						x	x					2		x			x	x			
SESR 8	2	2	2		2		2	x		x		x	x	x		2	2	x					x	x			
SESR 9	x	x	x		x					x	x	x	x	x		x	2	x		x		x	x	x	x	x	x
SESR 10	x	x	x		x		x	x		x	3	x	x			2		x		x	x	x	x	x			
SESR 11	2	x	2	x	x		x			x		x	x					2		x		x	x			x	
SESR 12					x						x		x					x					x				
SESR 13	x	x	x					x		x		x	x			3	x	3			x		x	x	x		
SESR 14										x	x	x	x			x		x					x		x		
SESR 15	x				x											x	x	x	x								
SESR 16	x	x	x		x	x				x		x	x			x	x	x									x
SESR 17	x			x	x	x				x	x	x	x					x					x	x			
SESR 18	x	x	x		x						x					x	x	x					x			x	x
CONSORTIUM 1					x												x	x									
CONSORTIUM 2										x							2	2				x				x	
CONSORTIUM 3												x										x	x			x	
CONSORTIUM 4					x	x		x		x	x	3	3	x			x	x				x	x	x	x	x	
CONSORTIUM 5	x	x	x		x	x					x	x	x				x	x				x	2	2	2	x	
CONSORTIUM 6						x		x		x								x	x		x	x	x	x	x		
CONSORTIUM 7										x	x					x		x				x	x	x	x		
CONSORTIUM 8	x																					x	x				
CONSORTIUM 9	x	x	x					x	x	x	x	x	x							x		x	x			x	
CONSORTIUM 10	x				x	x	x			x		x	x	x	x		x	2	x			x	x	x	x		
CONSORTIUM 11	2	2	2		2	x	2															x	x	x	x		
CONSORTIUM 12	x	x	x		2	2		x	x	x	x	x	x	x		2	2	2	x	x		x	x	x	x	x	
CONSORTIUM 13	x	x	x		x		x									x	x	x	x	x		x	x	x	x		
CONSORTIUM 14	2	x	x						x	x		x	x							x		x	2	x	x		
CONSORTIUM 15	x	x								x	x						x	x				x	x	x	x		
CONSORTIUM 16	x	x	x		x					x	x							x				x	x	x		x	x
CONSORTIUM 17										x		x	x			x						x	2				
CONSORTIUM 18	x			x	x	x										x						x	x	x	x	x	
CONSORTIUM 19	x	x	x	x												x	x							x	x	x	

	ASSESSMENT RESULTS																				
DATA REQUIRED BY:	PRESENT LEVEL OF PERFORMANCE	ACADEMIC ACHIEVEMENT	COGNITIVE LEVELS	COMMUNICATION STATUS	PSYCHO-MOTOR	HEALTH STATUS	VISION	HEARING	SOCIAL/EMOTIONAL STATUS	AFFECTIVE	GENERAL INTELLIGENCE	BEHAVIOR STATUS	SELF HELP SKILLS	PRE-VOCATIONAL/ VOCATIONAL SKILLS	TEST USED	LEARNING STRENGTHS	DESCRIPTION OF NEEDS	AREA OF DYSFUNCTION	PRIMARY NEED	SUGGESTED PLACEMENT	SERVICES NEEDED
FEDERAL CODE																					
FEDERAL REGULATION	x	x			x	x	x	x	x		x										
STATE CODE	S	S	S	S	S	S	S	S		S											
ADMINISTRATIVE CODE	C	C	C	C	C	C	C	C		C											
OSE FORMS COMMITTEE			x	x	x		x	x		x											
SESR 1	x																				
SESR 2	x	x	x	x	x	x	x	x	x												
SESR 3	x	x	x	x	x	x	x	x	x	x	x	3	x		x	x	x	x	x	x	x
SESR 4	x								x								x	x			
SESR 5	x	x	x												x		x	x			
SESR 6	2	x	2	x	x				2	2	x	x	x	x	x	x	2	x	x	x	x
SESR 7	x	x		x	x	x					x	x					x	2	x	x	x
SESR 8	2	x		x	x	x			x				x	x			x				
SESR 9	x	x	x	x	x	x			x	x			x	x					x		
SESR 10	x	x	x	x	x	x			x	x		x	x	x	x	x	x		x	x	x
SESR 11	x	x		x	x	x	x		x								x	x			
SESR 12	x	x		x	x			x	x				x	x			x				
SESR 13	x	x		x													x	x			
SESR 14	x														x	x	x		x		x
SESR 15	2	x				x									x			x	x	x	
SESR 16		x		x	x				x				x	x	x	x	x	x			
SESR 17	x	x		x	x	x			x				x	x				x			
SESR 18	x	x		x	x				x				x	x	x					x	
CONSORTIUM 1	x	x	x	x	x	x	x	x	x			x	x	x							x
CONSORTIUM 2	x	x		x	x				x				x	x	x		x			x	
CONSORTIUM 3	x	x		x	x	x	x	x			x		x	x			x		x	x	x
CONSORTIUM 4	x	x			x				x				x	x							
CONSORTIUM 5	x	x		x					x				x	x							
CONSORTIUM 6	x	x															x			x	x
CONSORTIUM 7	x				x				x				x	x							
CONSORTIUM 8	x	x		x	x	x			x				x	x							
CONSORTIUM 9	x	x		x	x				x				x	x	x						
CONSORTIUM 10	x	x															x		x	x	x
CONSORTIUM 11	x		x	x		x			x				x				x		x		
CONSORTIUM 12	x	x	x	x	x	x	x	x	x				x	x			x				
CONSORTIUM 13	x	x		x	x	x	x	x	x					x							
CONSORTIUM 14		x		x	x				x				x	x			x	2	x		
CONSORTIUM 15	x	x			x	x			x				x	x			x				
CONSORTIUM 16	x	x	x	x	x	x	x	x	x					x							
CONSORTIUM 17	x	x	x		x	x			x				x		x		x				
CONSORTIUM 18	x	x			x				x				x	x	x						
CONSORTIUM 19	x	x			x				x				x	x							

	PLACEMENT DATA																GOALS AND OBJECTIVES																	
DATA REQUIRED BY:	ELIGIBLE FOR SPEC. ED.	INTERIM PLACEMENT	PROGRAM OF PLACEMENT	TEACHER OF PLACEMENT	DIS SERVICES	SCHOOL OF PLACEMENT	DISTRICT OF PLACEMENT	TRANSPORTATION	RATIONALE FOR	RATIONALE OF LEAST REST. ENVIRONMENT	PERCENT INTEGRATION	PROGRAM DESCRIPTION	EXTENDED SCHOOL YEAR	FREQUENCY OF SERVICES	BEGINNING DATE OF SERVICE	ENDING DATE OF SERVICE	GOAL	GOAL #	GOAL PRIORITY	MODIFICATION OF GRAD STATUS	PRODUCTIVE LEVELS OF PERFORMANCE	SHORT TERM OBJECTIVE	OBJECTIVE NO.	TEACHING STRATEGIES	MATERIALS/RESOURCES	CRITERIA FOR OBJECTIVES	DATE TO BE ATTAINED	ASSESSMENT DATE	ASSESSMENT RESULT	IMPLEMENTOR	TITLE OF IMPLEMENTOR	COMMENTS	MISCELLEANOUS	TOTAL
FEDERAL CODE																																		1
FEDERAL REGULATION	x	x				x			x	x	x	x			x	x	x					x				x								34
STATE CODE		S									S	x	x		S	S	S			x	x	S		N		S	x	x						32
ADMINISTRATIVE CODE		x									x						S			x		x		N		x				C				23
OSE FORMS COMMITTEE		x	x		x	x	x	x			x	x	x	x	x	x	x	2		x		x	x			x	x	x	x	2			6	71
SESR 1			x		x			x					x				2	2				x	x				x	x	x	x				51
SESR 2	x		2					x		x	x			2	x	x	2					x		x			x			2	x	x	2	69
SESR 3		x	2	x	x	x	x	x	x	x	x	x	x	2	x	x	2	x	x	x	x	x	x	x		x	x	x	x	2	x	x	4	108
SESR 4			x								x				x	x	x	x		x		x		x			x		x	x	x			35
SESR 5	x	x	x			x					x				x	x	2	2	x		x	x	x	x			x	x	x	x	x		2	54
SESR 6	2	x	x	x	2	2	2		x	x	2	2	x	x	x	x	2	2	x		x	x	2	x	x	2	2	x	x	x	x		4	125
SESR 7	x		4	x		2		x			2			x	2	x	x	x		x	x	x					x		x	x			4	88
SESR 8			2	x	2	x	x			x	x	x			x	x	x			x		x				x	x	x	x		x			80
SESR 9			x							x	x	x			3	3	2	x		x		x		x		x		x	x				x	66
SESR 10	x		x	x	x			x	x	x	x	x			x	x	x	x		x		x		x		x	x	x			x		x	82
SESR 11			2			x	x	x			x				2	2	2			x										x			x	59
SESR 12			2		x			x	x		x				x	x	x			x		2		x	x	x	x	x	x	2				50
SESR 13	x		2	x		x			x		x				x		2			x	x	x				x	x	x	x	x		2	2	59
SESR 14	x										x				x	x	x					x		x	x		x			x		x		38
SESR 15					x				x								2	x			x		x	x		x			x	x			2	45
SESR 16			x		x				2					x	x	x	x	x		x		x		x			x	x		x				56
SESR 17			x	x	x				x					x	x	x	x	x		x	x	x		x	x	x	x	x		x		x	4	52
SESR 18			x		x				x		x						2			x		2		x	x		x	x						48
CONSORTIUM 1		x	x		x								x		2	2	3					x		x	2		x	x	x	2				49
CONSORTIUM 2	x		2	x	2				x						x	x	2					2		x	x		x	x	x	2	x		x	55
CONSORTIUM 3			2		x				x		x		x		x	x	2		x		x	x		x	x	x		x	x	2		x		55
CONSORTIUM 4			2		x					x				x	x	x	x			x						x	x			x		x	3	56
CONSORTIUM 5			2		x							x		x	2	x	2		x			x				x		x	x					49
CONSORTIUM 6			x		x						x	x		x	x	x	x			x		x				x	x						2	37
CONSORTIUM 7			x		x				x		x				x		x					x		x		x	x	x	x	x				30
CONSORTIUM 8			3		x				x		x		x		x	x	x					x		x	x	x	x	x	x					43
CONSORTIUM 9			2		x					x	x			x	x	x	x	x		x		x	x	x	x	x	2	x	2	2				58
CONSORTIUM 10	x		x						x	x				x	x	x	x					x		x	x	x	x	x	x	2			x	56
CONSORTIUM 11			x		x				x		2				2	2	x					x				x	x	x	x	x				67
CONSORTIUM 12			2		x							x		x	x	x	x	x				x		x	x	x	x	x	x	2	x	x		77
CONSORTIUM 13			x	x	x				x		x				x	x	2					2		x	x	x	x			2			2	55
CONSORTIUM 14			x		x				x	x	x	x			x	x	2					x		x	x	x			x	x			x	63
CONSORTIUM 15			2	x	x				x		2			x	2	2	x					2		2	2					2		x	x	58
CONSORTIUM 16			x		x					x	x				x	x	2		x	x		x				x	2			2			x	52
CONSORTIUM 17			x		x									x	x	x	2		x			x		x	x	x	x	x	x	x			x	43
CONSORTIUM 18			2		x				x		x				x	x	x					x	x					x	x	x		x	4	46
CONSORTIUM 19			x		x					x	x		x				x			x		x				x			x	x		x		38

Appendix F: A Critique of the Forms Drafted by the Office of Special Education, Forms Committee

The California Department of Education, Office of Special Education product sample special education forms. A draft of these forms were obtained February, 1980.

The data items included on these forms were critiqued using the following codes:

M = Mandated data item

DM = Mandated data item, but duplicated on a prior form

I = Data item needed to identify the student

A = Data item needed for the administration of the educational program, but duplicated on a prior form

QM = There is a question as to whether this data item was mandated

N = Data item was not needed

QN = Data item was of questionable need

1.1 REFERRAL FORM

DATE /M/ ____/____/____

Name: /I/ ______________________ Birth Date /I/ ____/____/____ Sex /A/ ____
Last First M.I.

Address: /A/ ______________________ Phone: /N/ ______________________

Referred by: /A/ ______________________
(Name/Title or Position)

Individual referred is: /N/ /__/ In public school /__/ In private school
/__/ Not in school

School: /A/ __________ Grade: /A/ __________ Teacher/Counselor: /A/ __________

District of Service: /A/ __________ District of residence: /A/ __________

Name of Parent/Guardian: /A/ ______________________

Address (If different): /A/ ______________________

Home phone: /A/ __________ Work Phone: /A/ __________

Language in home: English____ Spanish____ Both____ Other /M/ __________

Primary Language of pupil: /M/ ______________________

A. REFERRAL INFORMATION

1. Reason for referral: /M/ ______________________
____

2. Describe steps that have been taken to assist pupil in area(s) of difficulty:
/M/ - SESRs only
____

3. Other agencies involved: /ON/ ______________________

4. Optional: How did referring person hear about Special Education? /ON/
Radio____ TV____ Newspaper____ Word-of-mouth____ Brochure____
Inservice____ Posted Notice____ Annual Notification from school district____
Principal____

B. SCHOOL INFORMATION

1. If referred is of school age, but not attending school, where are pupil records?
/ON/

CLASSROOM TEACHER/COUNSELOR SHOULD COMPLETE THE FOLLOWING:

1. List prior special education programs/services: /QN /

2. Number, in priority order, only those areas of concern /QN /

AREA

Speech/Verbal Communication

Visual

Auditory

In-Class Social Behavior

Out-of-Class Social Behavior

AREA

Work Habits

General Motor Behavior

Academics

Attention

Absenteeism/Tardiness

3. Indicate specific observed behaviors for areas checked above:

/QN /

4. Describe program and materials used with student:

/QN /

5. Estimated performance level: /QN /

Reading:

Math:

Oral Language:

Written Language:

Other:

6. Areas of strength and/or interest observed in student: /QN /

/QN /
Signature

/QN / / /
Date

1.2 NOTIFICATION OF REFERRAL AND INTENT TO ASSESS

Dear /I/ ________________________________: DATE/A/ / / /________

/I/ ________________________________ has been referred to the School Appraisal Team/ Educational Assessment Service (SAT/EAS) as perhaps being in need of special education services. Not all individuals who are having difficulties in school need special education. The pupil may remain in the regular class with special materials, equipment, consultation, or assistance provided to the regular teacher. But some have exceptional needs which cannot be met in the regular school program alone. Your child may have a need for one or more of the following Special Education Services /M/

The pupil remains in the regular class: Special materials or equipment, consultation or assistance are provided to the teacher and pupil.

Designated Instruction and Services: The pupil is enrolled in the Regular School Program and receives special support which may include such services as adaptive physical education, speech or language therapy, assistance for a hearing or visual impairment, etc. (A pupil may also be enrolled in any of the programs listed below and receive these services.)

Resource Specialist Program: The pupil is enrolled in the Regular School Program for the majority of the school day and receives assistance from a Resource Specialist.

Special Class: The pupil is enrolled in a special class for the majority of the school day, unless otherwise specified, which provides instructional emphasis for his/her special needs. The pupil may also spend some time in regular school programs. The special class may be at the student's home school or may be at another school in the community.)

Non-Public School: The pupil is enrolled in a private school if the Educational Assessment Service determines that services appropriate to the individual's specific needs are not available in the public school. This is provided at no cost to the parent.

In order to determine need for these services, it may be necessary to conduct an assessment of your child. If so, an assessment plan with a request for your consent to assessment:

/A/ is attached, /A/ will be sent to you within 15 school days

/A/ is not necessary.

The assessment plan will outline the areas in which your son/daughter needs to be assessed. The results of the assessment will help us make recommendations for programs/services to be provided at no cost to you in order to more adequately meet your son's/daughter's educational needs. Read the plan, then reply as soon as possible. If you wish, you have at least ten (10) school days from the above date to reply. No assessment placement or service will occur without your written permission. You will be invited to discuss the assessment results and to plan your child's school program.

Enclosed is a copy of Parent and Student Rights. If you have any questions, please contact:

SAT/EAS Representative ________________________________

School/District/Agency ________________________________

Telephone ________________________________

2.1 ASSESSMENT PLAN

DATE /A/ ________ / ________ / ________

To parent of: /I/ ________________________________ Birth Date: /I/ ____ / ____ / ____
(Last) (First) (Middle)

School/Area: /DA/ ________________________________

The purpose of this assessment is to determine individual needs. The assessment results may indicate a need for special education services or may indicate the need to modify the regular program. Assessment in areas checked below will be conducted by appropriately qualified staff and, when appropriate, use a suitable interpretor or pre-recorded tests in the individual's primary language. The assessment may include student observation in a group setting and/or interview with you, plus a review of any reports you have authorized or that already exist in current school records.

The following assessments as checked will be administered.

/M/ Academic/Pre-Academic Achievement

Purpose: These tests measure current reading, spelling, and arithmetic or pre-readiness skills such as matching or sorting. Tests may include, but are not limited to: ________________________________

____

/M/ Social/Adaptive Behavior

Purpose: These scales of development help to tell what an individual can do for himself and how he gets along with other people. They may include, but are not limited to: ________________________________

____

/M/ Psycho-Motor Development

Purpose: Instruments in this area measure how well an individual coordinates body movements in small and large muscle activities. They are also measure visual-perceptual skills. They may include, but are not limited to:

____

/M/ Communication Development

Purpose: These tests measure the individual's ability to understand, relate to and use language and speech clearly and appropriately. They may include, but are not limited to: ________________________________

____

2.1 ASSESSMENT PLAN

/ M / Intellectual Development

Purpose: These tests measure how well an individual remembers what he has seen and heard around him, how well he/she can use that information, and how he/she solves problems. They also reflect learning rate and assist in predicting how well (s)he will do in school. Verbal and performance instruments are used, as are appropriate. Tests may include, but are not limited to: ____________________________________

____

/ M / Vision and Hearing

Purpose: To evaluate the ability to see and hear. These may include:

____

____

/ M / Developmental History

Purpose: To check the pattern of pupil's growth and development. These may include: ____________________________________

____

/ M / Career Assessment

Purpose: To measure career related occupational interests and aptitudes. These may include: ____________________________________

____

/ M / Other (Include Vocational or Medical Assessment Here)

____

2.1 ASSESSMENT PLAN

The professionals checked below will be involved in the individual assessment outlined above: /M/

____Audiologist;____Nurse;____Physician;____Psychologist;____Remedial/ Adaptive Physical Education Teacher;____Resource Specialist Teacher; ____Speech and Language Specialist;____Teacher;____Other______________________

____
Specify

If you have any questions about the above Assessment Plan, please call the following person before signing:

/DA/ ____ Name of SAT/EAS Chairperson

/DA/ ________________________ Phone Number

Please check the following items, if appropriate:

If student often speaks other than English at home, please indicate language: /DM/ ____

If(appropriate) will submit a written report from:

/QM/ ____
(Name/Title of person/agency who has assessed my son/daughter)

I hereby give my permission for the assessment indicated above to be made. I understand that the results will be kept confidential and that I will be invited to attend the School Appraisal Team or Educational Assessment Service meeting to discuss the results. It is also my understanding that no educational placement/service will result from this assessment without my written permission.

/M/ ____ Signature of Parent

/M/ ________________________ Date

Annual Review /M/

3.2 PARENT NOTICE OF MEETING

Dear /I/ ____________________ Date /A/ / /

We are planning a meeting of the School Appraisal Team/Educational Assessment Service concerning your child, /I/ ____________. You are invited to attend and participate in this meeting. We have scheduled the meeting for:

Date /M/ / /

Time /M/ ____________

Place /M/ ____________

Please use the form below to notify us if this is convenient.

The purposes of this meeting are to discuss or review your child's need for special education and/or services, to recommend an appropriate educational placement, and, when special (education) is necessary, to write an individualized education program.

You will meet with one or more persons from our school staff. The following staff members have been asked to participate: /M/

☐ Special Education Administrator/Designee

☐ Special Education Teacher

☐ Regular Classroom Teacher

☐ Psychologist

☐ Speech and Language Specialist

☐ Program Specialist

☐ Resource Specialist

☐ Other ____________

You may bring a representative with you or you may designate another person to be your representative if you are unable or do not choose to attend. /M/

A summary of your rights and the due process procedures for appeals and fair hearings is given on the back of this sheet. ☐ If you want further information about your rights or the purposes of this meeting, please contact:

/DA/ ____________________, telephone number /DA/ ____________

Sincerely,

____________________ /DA/
Name of Chairperson

- -

cut off, fill out and return

/Q/ I plan to attend the meeting.

/Q/ I request a different time/place

/Q/ I will send a representative:

/Q/ I do not plan to attend the meeting

/ / /Q/ /Q/ /Q/
(date) (time) (place)

/Q/ ____________________
(name of representative)

/Q/ ____________________
Parent's Signature

/Q/ ____________________
Student's Name

RETURN TO: /Q/ ____________________

3.4 INDIVIDUALIZED EDUCATION PROGRAM/PUPIL PLACEMENT SUMMARY
(Completed Annually)

School /DA/ ____________ District /DA/ ____________ Meeting Date /DM/ ___/___/___

SAT Meeting /DM/ ____ EAS Meeting /DM/ ____ Review Mtg. /DM/

Pupil Name /I/ ____________ Sex: M /I/ ____ F ____ Birth Date /I/ ________ Age /DA/ ____

Street Address /DA/ ____________ Mailing Address /Q/ ____________

City /DA/ ____________ Zip /DA/ ______ District of Residence /DA/ ________ Grade /DA/ ____

Parent/Guardian /DA/ ____________________ Telephone /DA/ ____________

Primary Language of Home /DM/ ________ Primary Language of Pupil /DM/ ________

NES/LES (circle if appropriate) /QM/

Parent/Guardian was advised of meeting by: /Q/ Telephone___ Letter___ Other________

☐ Parent/Guardian and/or ☐ Parent's representative ☐ did ☐ did not attend meeting

State further actions taken: /QN/ ________________________________

SAT/EAS RECOMMENDATIONS /M/ START /M/ END /M/ COMMENTS (LOCATION, TIMES/WEEK)

☐ RESOURCE SPECIALIST PROGRAM /QM/

☐ DIS ____________________

☐ DIS ____________________

☐ DIS ____________________

☐ P.E. TYPE: ______________

☐ SPECIAL TRANSPORTATION

☐ CONTINUE IN CURRENT PROGRAM

☐ MODIFY REGULAR PROGRAM

☐ REFER TO EAS

☐ SPECIAL CLASS OR CENTER

☐ REFER TO STATE SCHOOL

☐ NONPUBLIC, NONSECTARIAN SCHOOL

☐ EXTENDED SCHOOL YEAR SERVICES

☐ OTHER

☐ PARTICIPATION IN REGULAR PROGRAM /M/ ________________________________

____

☐ TRANSITION RECOMMENDATIONS /M/ ________________________________

____

☐ PLAN FOR MEETING DISTRICT GRADUATION REQUIREMENTS (IF APPLICABLE) /M/ __________

____

The persons whose signatures appear below participated in the development of the IEP and agree to its contents unless otherwise noted.

Signature of Attendees	Vote Y=Yes	N=No
/M/ Administrator/Designee	/QN/	
/M/ Resource Specialist	/QN/	
/M/ Teacher	/QN/	
/M/ Other	/QN/	

/QN/ I have a copy of my rights.

/M/ I approve of the placement of my child

/QN/ I participated in the development of the IEP

/QM/ I approve of the IEP developed for my child

/DM/ I disapprove of the recommended placement

/QM/ I request an independent assessment at public expense

/QM/ I request a fair hearing

/QM/ I refuse special education for my child

/☐ Signature of Parent

/☐ / / Date

THE SECTION BELOW IS FOR UNDUPLICATED DIS ONLY-OTHER SERVICES USE PAGES 2 & 3

Present Performance Level /M/

Annual Goal /M/

Implementor /M/ - LEA Only

Minority Report (If any) /QN/

Education Need /QN/

District /DA/ ____________ School /DA/ ____________ Date /A/ ____________

3.4 Individualized Education Program for /I/ ____________ Date /DA/ ____ / ____ / ____

Student's Name

/QN/ ____________

Person completing form

Present levels of performance (e.g. development in language, cognitive, affective, sensory, and sensory motor functioning)	#	Annual Goals	Responsible Person
/M/	/QN/	/M/	/DM/-LEA Only

PL 94-142 (Section 121a.349 - Though the IEP is not a legal contract, the agency and teacher will make good faith effort to achieve the written goals and objectives.)

Progress towards these goals was reviewed ___ / ___ / ___ (date) /A/ . A new IEP was developed ___ / ___ / ___ /DA/ (date).

District /DA/ School /DA/ Date / A/ / /

3.4 Individualized Education Program for / I/ Date /DA/

Student's Name

Personnel responsible for implementation: /DM/ - LEA Only

Name(s)

/QN/

Person completing form

Goal #	Obj. #	Short Term Instructional Objectives	Evaluation Procedures	Criteria of Successful Performance	Evaluation and Programs
/QN/	/QN/	/ M/	/ M/	/ M/	/QM/